

STRATEGIC ROAD-MAPPING FOR SMALL-TO- MEDIUM
NONPROFIT ORGANIZATIONS

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STRATEGIC ROAD-MAPPING FOR SMALL-TO- MEDIUM NONPROFIT ORGANIZATIONS

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ABSTRACT

Long-term strategic planning is not typical among small-to-medium nonprofit organizations (SMNOs), since the focus is on tactical mission priorities and urgencies. This prioritization is due to limited resources and capabilities, although a strategic plan is still considered critical for the social nonprofit enterprise's sustained viability. Road-mapping provides an operationalizable strategic planning methodology for nonprofits, especially SMNOs. This research develops a strategic roadmap (SRM) model based on a long-term strategy for such nonprofits. The roadmap includes swim-lanes representing multiple stakeholder perspectives and is used to identify the policies and procedures required to achieve the long-term vision. The perspectives covered are social, technical, economic, environmental, and political (STEEP). The strategic roadmap model is validated using expert judgments and by the case study of a children's mental health nonprofit organization agency located in Southeastern Connecticut, USA. It is shown to be effective for the case study because it is a visual model and could be operationalized with tasks for the practitioners.

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CHAPTER 1 INTRODUCTION

1.1 Strategic Road-mapping and Technology Management

Technology may be broadly defined as the knowledge base with outputs as technologies, devices/products, services, methods, processes, methodologies, and know-how that are integrated into multiple systems applied to organizations: social, technical, economic, environmental, ethical, and legal (STEEPEL). In this research, STEEP was considered with EL (ethical and legal) being incorporated into P (political). Technology managers must not only focus on technical systems but also have comprehension and appreciation of complementary systems to be successful in the modern digital economy.

Strategic road-mapping provides a systematic approach to foresight that addresses these STEEPEL systems at the policy level. It is then the overarching methodology for the development of, but not limited to, technology road-mapping. Technology management techniques: technology road-mapping (TRMing), Quality Function Deployment (QFD), and the Delphi Method (DM) are modified and combined to develop a strategic roadmap to create and validate policies that are necessary to realize the stated vision for an organization . Small-to-medium nonprofit organizations (SMNOs) do need a technology roadmap (TRM) but for an effective and efficient TRM, it requires an alignment with a strategic roadmap. TRMs have been developed to support new technologies and products for quantitative business objectives such as revenue and profit for

decades and business policies have been well-established[1, 2] However, SMNOs do not have such an established record and policies and may vary significantly based on a combination of tangible and intangible (altruistic) goals such as fulfilling dreams for pediatric cancer patients. Hence, it was hypothesized and then later validated by decision makers that a strategic roadmap (SRM) was a higher priority. This resulted in becoming the scope of this research. Then tasks from the STEEP perspectives may be identified to affect the higher-level policies and vision. At this level, TRMs may be developed.

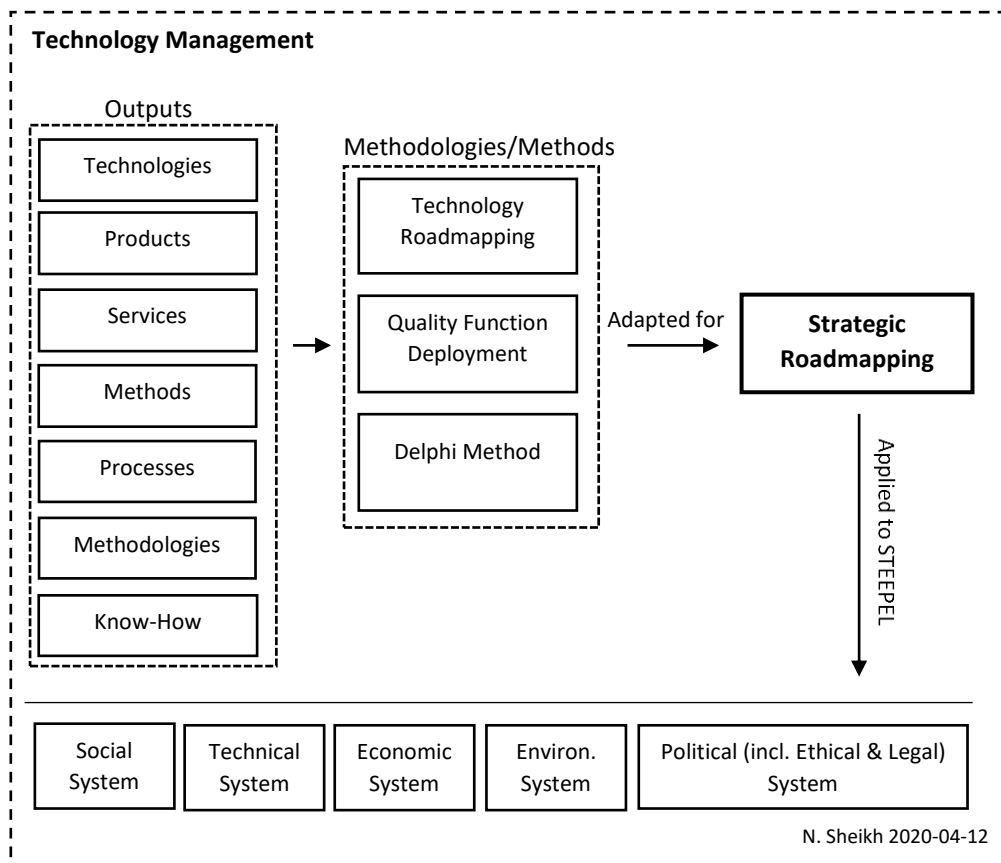


Figure 1. Strategic Road-mapping in Technology Management

1.2 Research Problem and Scope

Nonprofit organizations may not remain viable to their mission and vision unless they sustain an effective strategic management framework with appropriate longer-term planning and execution [3]. This is the first study that applies high-level strategic roadmap (SRM) modeling to small-to-medium nonprofit organizations (SMNOs). SRM modeling is designed to be a critical aspect of SMNO strategic management. Strategic management refers to the process of continuous planning, monitoring, analysis, and assessment into the future to meet its goals and objectives. SMNOs continue to experience notable changes based on a series of strategy-related studies that find nonprofits expanding in numbers as government support diminishes [4]. Nonprofit market trends are expanding in areas that need societal support (refer to Figure 2). These may include basic needs such as shelter and sustenance or more complex needs such as healthcare, vocational /educational training, and life-sustaining employment.

Number of Nonprofits in the United States	Types of Nonprofits	Percent of Nonprofits 501(c)(3)
Today: > 1,600,000 1995: < 800,000	27 including charities, healthcare/scientific, religious groups, trade unions, welfare societies, and other similar organization.	About 70% fall into this category with specific governmental guidelines for qualification and sustainability

Figure 2. Nonprofit Organization Trends, Types, and Categorization

A systematic literature review on nonprofit strategy spanning from the 1980s to the present confirms this finding as well [5]. A strategic roadmap (SRM) is a model that can be used as a method to develop a strategic plan as part of the strategic management process. Strategic

planning is the process of identifying priorities and goals necessary to meet the SMNO mission. This process may be less straightforward than planning for the profit sector [6]. The SRM is a strategic planning method that is time-based and is used to develop a plan that is a visual representation of where the organization is or has been and a forecast to where it is heading along a pathway of its vision. SRMs can help align and formulate strategic planning and subsequent policies and procedure due to their expansion of visual nature [7]. Road-mapping as a forecasting method has been widely used to help organizations identify future benefits to their organization and the resources necessary to accomplish them [8]. SMNOs need to develop specific strategic plans based on the individual functions within their mission area. Strategic planning fills a critical role in a continuous improvement process. All organizations should continuously improve their process to sustain their viability. Many other continuous improvement techniques were examined such as Capability Maturity Model Integration (CMMI) [9, 10] that is used in the software industry or Total Quality Management (TQM) [11, 12] used in multiple applications are two frequently used improvement techniques. SRM for SMNOs differentiates itself from other methodologies by being one of the most effective best practice strategic planning improvement technique. For instance, CMMI and TQM are continuous improvement methodologies that focus on immediate opportunities. These opportunities may have longer-term implications, but these improvement processes do not specifically define forecasted periods for future improvement. The SRM strategic planning model provides a mechanism to evaluate past practices, the current environment, and plan into a predetermined period typically up to 5 years into the future, to determine what the future vision may look like. The strategic planning functions require an in-depth review of the elements that compose the organization and form the improvement process. Determining these elements requires knowledge

from those involved in the process that is promoted through strategic thinking, acting, and learning [13].

Quality Function Deployment (QFD), also known as House of Quality (HoQ) was developed in Japan in the late 1960s as a continuous improvement method that can be used in unison with SRM to determine such elements. Figure 3 depicts a simple process that links QFD to the planning process. QFD is a known process that was developed to determine the needs of the customer, client, or organization as a proactive support method and then uses this knowledge to rate and create a plan based on this knowledge [14]. QFD has been expanded to apply to planning processes where a team, committee, or group need to prioritize possible aspects that may include forecasted objectives [15]. Others, such as Sheikh and Kocaoglu [16] have used HoQ to augment an SRM and subsequent planning analysis. HoQ uses a planning matrix to assist with aligning the relationships with the elements of the SRM. This can translate into SMNO strategic planning by using the same Quality Function Deployment/House of Quality process to determine the elements that drive SMNO success.

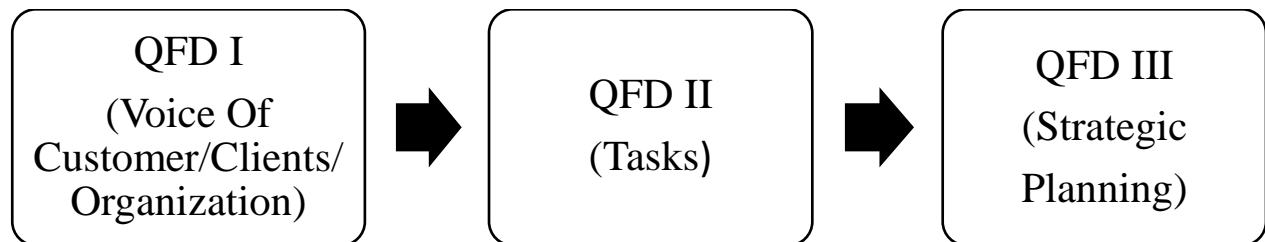


Figure 3. Linking Quality Function Deployment from Voice of Customer, subsequent Tasks and the Planning that follows

With this knowledge of the critical SMNO elements, important organizational questions are determined for SMNO strategic planning. These questions may be validated by experts in the SMNO key functions and then answered by these same experts by three separate questionnaires

[17]. In the first questionnaire, questionnaire 0, data will help form the basis of the SMNO SRM framework . The proposed SRM, along with predetermined decision-making criteria, will form the basis of a viable SRM framework. Such a framework may be used to determine individual strategic planning as part of the SMNOs strategic management process. Policies and procedures may be developed from the components of this framework. The result is a strategic framework that determines plan milestones and potential policies and procedures to secure the SMNO SRM framework. The other two questionnaires, questionnaires 1 and 2, the expert judgment validates the elements that are necessary to implement an SRM. Lastly, a case study of a small-to-medium mental health nonprofit organization agency located in Southeastern Connecticut was used to draw expert feedback information from questionnaire 2 to help validate an SRM.

Today's changing societal environment requires stronger and more progressive committees. These committees need to provide better strategic management and support to sustain the long-term viability of the SMNO.

1.3 The Motivation Behind the Research

Small to medium-sized nonprofit organizations (SMNOs) perform a vitally important role in society. Unfortunately, these organizations are constrained by the lack of resources to properly plan for their longer-term future. Providing a better, more inclusive planning model that can include multiple stakeholders in the organization, will help them to succeed and meet their mission now and into the future.

The research introduces a strategic framework that creates a roadmap for executing a strategy leading to the achievement of the overall vision.

The motivation for this work is the author's experience as an SMNO health agency Board member that continues to provide insight and guidance to this SMNO, and for his desire to apply this methodology to those nonprofit organizations in need.

1.4 Research Questions

The research will attempt to provide answers to the following questions:

- Question 1: Can a Strategic Road Map provide strategic direction to improve a Small Medium NonProfit Organization (SMNO)?
 - This is the fundamental question that emanates from the author's inquiry that fosters the creation of a unique SRM that relies on expert judgment feedback and a case study to assist with answering this question.
- Question 2: How can SMNO assessment be constructed that accounts for the impact of STEEP perspectives and their sub-criteria on strategic planning?
 - STEEP (Social, Technical, Economic, Environmental, and Political) perspectives are important considerations for SMO operations. The question examines the conceptualization of the SRM framework and the possible application of the framework perspectives and sub-criteria aspects to develop a viable and unique strategic plan.
- Question 3: Can this SRM model be standardized such that it can be utilized to improve SMNO planning and performance?
 - This question will examine the possibility of creating and implementing an SRM framework that is validated through expert judgment and a practical case study with the intent of providing beneficial planning and performance outcomes.

- Question 4: How can SMNO stakeholders make better decisions based on the SRM model?
 - This question examines possible improved decisions when and if the SRM model is put into practice using the prescribed model.

1.5 Contributions to The Body of Knowledge

This research contributes to the literature and creates a planning model designed to assist SMNOs which historically have not had the resources to accomplish satisfactory strategic planning. The contributions can be summarized as such:

1. The literature will now provide research that can assist SMNO strategic planning by introducing real data and a practical case study.
2. The SRM can provide a more clear and easier strategic planning mode by:
 - a. Visual SRM is easier to comprehend
 - b. Forecasting that accounts for past, current and future planning
 - c. Covers STEEP perspectives that are inclusive of multiple considerations
 - d. Is broader and deeper given the comprehensive model framework and its elements

The SRM model is designed to be flexible to allow for usage in other SMNOs. The flexibility allows each SMNO to adapt the SRM to its unique needs.

CHAPTER 2 LITERATURE SURVEY

2.1 Literature Review Methodology and Process

The development of an SRM for an SMNO required a thorough review of the literature to establish what work has been conducted in this area and usage of the literature search to establish

an SRM framework. Addressing a variety of gaps in the literature pertaining to longer-term strategic planning, this study contributes to the related literature by:

1. Introducing a novel SRM model that addresses the specific needs of SMNOs for the first time.
2. Providing real-life validation data for the formation of an SRM SMNO framework.
3. Introducing real data to the related literature given that the majority of SMNOs are not public entities with their data being unavailable to the public.
4. Highlighting the importance of stronger and more progressive committees for the long-term sustainability of nonprofit organizations.

This is the first study that applies high-level strategic roadmap (SRM) modeling to small-to-medium nonprofit organizations (SMNOs). In this regard, an SRM model is developed and validated to provide a basis for long-term SMNO strategic planning that is critical in supporting an organization's mission-critical viability.

The literature review is designed to study the related body of work to gain knowledge of the status of the three core aspects listed in Figure 4. The gap of the intersection of nonprofit organizational road-mapping, market trends, and operational aspects provides the intersection of the body of this work's research and the focal point of this paper.

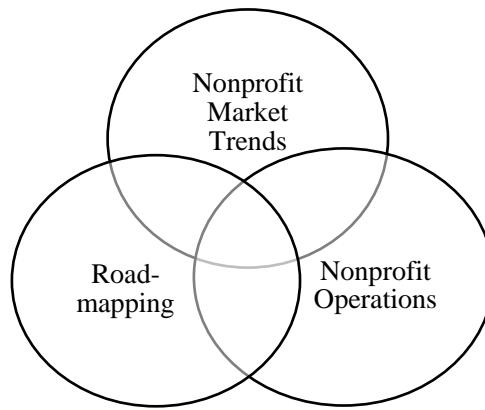


Figure 4. Road-mapping Improvement Intersection

Market trends explore what was necessary to understand the nonprofit market's needs and the fact that nonprofit organizations have increased by 40 to 50% in the last generation [18, 19]. Nonprofit operations delved into the critical aspects of nonprofit strategic operations and the various continuous improvement areas that have been utilized over the last 25 to 30 years. It was then determined that road-mapping is a unique strategic improvement methodology that will lend value to nonprofit improvement. Specifically, technology road-mapping provides cutting-edge vision taking into consideration past and future projections. STEEP perspectives can be applied to gather a thorough strategic road-mapping plan for nonprofit organizational development. This review is meant to leverage future research areas that may be developed from STEEP criteria and sub-criteria. The literature review scope considered international nonprofit strategic management as well as domestic [20].

After a review of more than 150 papers, journals, and books, 74 pertinent articles were cited relating to the three key nonprofit perspectives of market trends, operations, and road-mapping. Multiple search databases were utilized to search for the three key nonprofit perspectives from publications and conferences as is outlined in Table 1. below. Keyword

searches included strategic planning, road-mapping, nonprofit, continuous improvement, and nonprofit market trends.

Table 1. Number of Articles by Theme

Nonprofit Perspectives	No. of Papers
Market Trends	13
Operational	39
Road-mapping	22
Databases (primary):	Pubmed, SpringerLink, Sage, ABI/Inform, Google Scholar, Wiley OnLine, ProQuest, Taylor&Francis Social Science, Elsevier Science Direct, EBSCO

The literature review process was a logical pathway emanating from the focused areas, including Nonprofit Market Trends, Operations, and Road-mapping through the literature search and resulting in a literature critique with a conclusion and future potential research.

The literature review process that was followed is detailed in Figure 5. below. A logical pathway evolved from the focused area through the literature search and ultimate correlation to a summary conclusion which included gaps and potential future research.

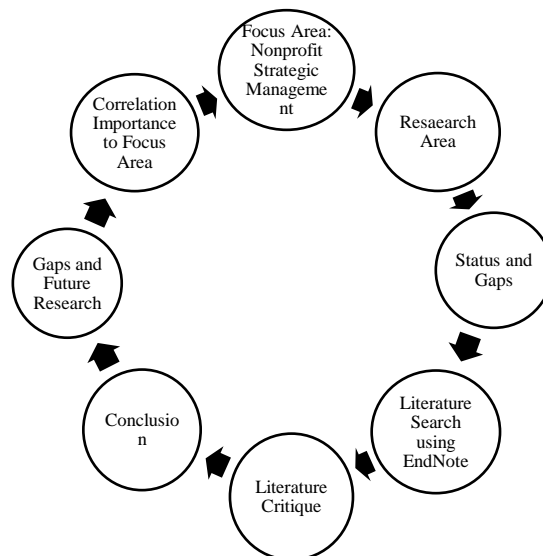


Figure 5. Literature Review Process

2.2 Nonprofit Strategies, Market Trends, Operational aspects, and Road-mapping

Strategies

Nonprofit organizations do not have abundant managerial resources and experience, especially the small-to-medium nonprofit organizations (SMNOs), and the resources that they do possess, must be managed more efficiently and effectively to attain their mission and vision [5]. Therefore, the development of a strategic management process that would assist these organizations to create the appropriate planning, structure, policy, and procedures to accomplish longer and more effective planning is necessary. This approach creates a better scenario that emulates more robust management strategies of for-profit organizations [21]. Strategic management may be defined as “the appropriate and reasonable integration of strategic planning and implementation across an organization (or other entity) in an ongoing way to enhance the fulfillment of its mission, meeting of mandates, continuous learning, and sustained creation of public value” [22]. Nonprofit organizations may be heading towards irrelevance or bankruptcy if they do not reshape themselves with a more efficient and effective strategic management framework [23, 24]. Strategy planning for nonprofits is almost mandatory these days, and choosing an effective process such as road-mapping, including technology road-mapping and strategic planning, is critical [2, 7, 13, 16, 20, 22, 25-49].

Market Trends

Market trend aspects of nonprofit organizations revealed details of the types and increasing numbers of nonprofit organizations in operation. There are more than 1,600,000 nonprofit organizations in the United States today [50]. This number doubled between 1995 and 2014 [18]. There are multiple types of nonprofit organizations, and each organization has its

mission and guidance criteria. Types of nonprofit organizations may include charities, health services, religious affiliation, trade unions, welfare societies, and similarly related organizations. Charities, educational or religious are the most common types of nonprofit organizations. There are 1,400,000 nonprofit organizations that fall into a government classification referred to as a 501(c)3 which must adhere to strict governance rules to maintain this tax-favored government status [51].

Operational Aspects

Nonprofit organizations' operational aspects focus on improvement mechanisms and resulting policies and procedural governance necessary in order to control and sustain the nonprofit enterprise. This review focuses on the use of strategic road-mapping applied to multiple perspectives of STEEP, which affect the nonprofit organization's long-term planning and viability. Operationally, nonprofit organizations must pay close attention to their entire financial condition, however, oftentimes, they may overlook their balance sheet while focusing more time on their income statement [52]. To survive, nonprofit organizations must operate in a more business-like fashion [4, 21, 53-55]. Nonprofit strategic management effectiveness is hard to quantify so this may partially explain why it is more difficult to administer than for-profit management strategy [56].

Road-mapping

For the research described herein, road-mapping is defined as a methodology that can serve as a model that specifically unveils the unique needs of a nonprofit organization that must be sustained and can adapt to changes over a select period of time [57, 58]. As such, this model can be specifically tuned to account for previous history and future strategic planning projections. Typically a time frame may span several years of prior history to a future projection

of 5 or more years. A future projection that is longer than 5 years is subject to inaccuracies due to an increase in time-based variability.

Motorola under Bob Galvin's CEO leadership was one of the first to develop and use Product Technology Roadmaps (TRMs)[42]. They created an extensive TRM database for current and future research. The need for competitive advantage was the main driver.

Road-mapping methodology has surpassed all other research methodologies including Delphi, scenario planning, and modeling/simulation in the 2000 to 2018 time period[8]. More than 162 different roadmaps were identified in the last several years[8] .

Seven schools of thought have brought road-mapping to the forefront.

1. Cambridge (Practical)
2. Cambridge (Phenomenological)
3. Portland
4. Bangkok
5. Beijing
6. Seoul
7. Moscow

Cambridge under Phaal direction is viewed as fostering practical road-mapping application[1]. Phaal has lead a practical approach to road-mapping that emphasizes multifunctional workshops and seven basic principles of the use of strategic management toolkits with road-mapping as a guiding model[59].

1. Human-centric-multifunctional engagement and decision-making
2. Workshop driven-dedicated workshop focus with up to a day of isolation
3. Neutrally facilitated- a neutral, no workshop facilitator

4. Lightly processed-start small and fast, open flexible and not too complicated
5. Prioritized- prioritize your outcomes
6. Scalable-start small and be flexible so you can scale to other areas
7. Visual- key aspect so results are easy to interpret and understand visually

Road-mapping has emerged as a forecasting methodology [3]. This is the base application of the author's research and usage of Strategic Road-mapping (SRM) in Small to Medium Nonprofit Organizations (SMNOs). The author's literature review[60] substantiated the need and potential value of applying SRM as a forecasting and planning methodology. SRM is a visual model that has practical application value. The key lesson for is that visualization should not just be seen as an attractive way to communicate the strategic planning process outcomes and monitor its progress, but as a powerful process enabler that can enable strategizing as a joint managerial practice if facilitated properly[61]. Figure 6. provides an evolutionary roadmap timeline.

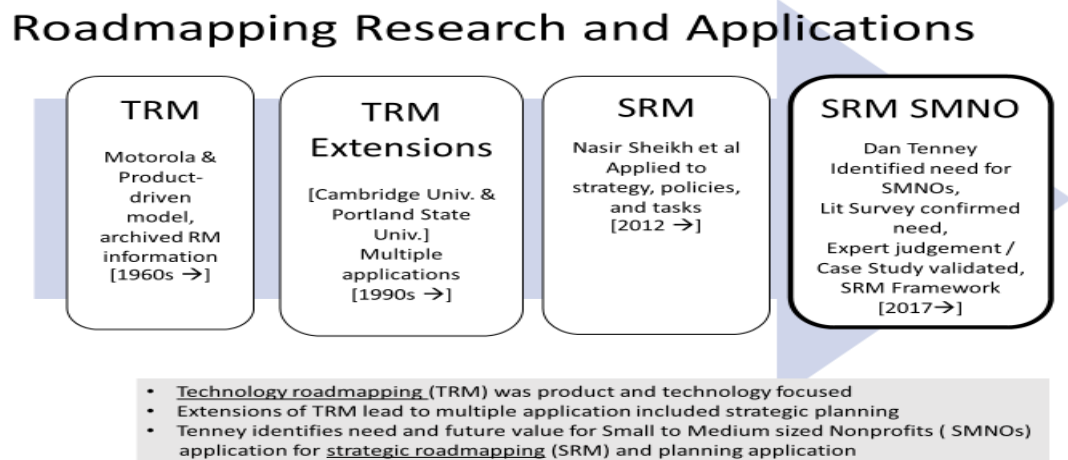


Figure 6. Road-mapping Timeline

2.3 STEEP Perspectives in Decision Making, Strategic Assessment

Studies that engage in strategic planning of SMNO's typically include multiple perspectives of STEEP. The effectiveness of nonprofit organizations does not determine what perspective of the organization will predominate [62, 63]. Leadership can be defined as the act of motivating a group of people to act towards achieving a common goal. Strategy can be defined as a plan of action to achieve a common or significant goal. Thus, leadership and strategy work together when an SMNO engages in strategic planning. Leadership and strategy are factors that affect nonprofit performance [64, 65] [66, 67], but the STEEP impact is not affected. In other words, STEEP perspectives are not affected by performance measures. Corporate responsibility building and enhancement of management capability can lead to better adherence to nonprofit STEEP perspectives [68, 69] [70, 71]. The market trending of nonprofit organizations is not influenced by any one STEEP perspective [18, 72, 73]. Other aspects of nonprofit organizational operational performance and effectiveness do not appear to show any specific correlation to STEEP perspectives [18, 74] [39, 54, 72, 73, 75-77]. The literature typically engages in the Social and Political aspects, and rarely do they go into detail on more than one or two perspectives. This is logical considering that the mission of most nonprofit organizations is to serve gaps in societal needs. This, in turn, may create a political situation since many nonprofit organizations work in unison or may even compete with governmental agencies.

2.4 Gaps in the Literature

Results from the literature review are summarized as follows:

- STEEP perspectives are not all typically covered in any one article.
- SRM has not typically been applied to SMNO's.
- Decision making is not well defined in the SMNO world.

Table I. (Appendix 2) illustrates two primary gap areas that form important conclusions to this literature review. The first area, Strategic Road-mapping (SRM), depicts gaps in the literature as it relates to nonprofit organizations. The second area, Social, Technical, Environmental, Economic, and Political (STEEP), depicts gaps in how the cited literature relates to the impact of the STEEP perspective.

2.5 Conclusion and Gaps

Conclusion

The main objective of this literature review was to perform a comprehensive search of strategic road-mapping and how it applies to social, technical, environmental, economic, and political perspectives for nonprofit organizations.

STEEP perspectives in nonprofit organizations while important is also not well documented in the literature. It is likely that a better understanding of the implications of the interaction of STEEP perspectives with nonprofit organizations and SRM could lead to improved organizational development impact.

Gaps

A comprehensive literature review study reveals that the literature has gaps when referring to nonprofit SMNOs and SRM. Strategic planning is prevalent in nonprofit literature. However, there are not well-documented debates regarding SMNO strategic planning and SRM. What appears to be limited is SRM and its application to nonprofit organizations, especially SMNOs. The other primary gap is that STEEP perspectives are critical to nonprofit organizations to meet their mission and vision. What is apparent from this literature review is that there is no specific correlation or consistency to any one STEEP perspective being covered relative to

related nonprofit articles. To close the gap in SMNO strategic planning and resolve apparent planning gaps, it is proposed to pursue further research into the usage of SRM in SMNOs.

Small lean organizations work mostly on immediate priority tasks and do not prioritize longer-term strategy and planning. SMNOs are typically resource and competency limited and have not had the exposure to an SRM planning process. The SRM model has been applied to a variety of applications but given the nonprofit application, it is not a primary model that has been used. It also projects years into the future, which, while very valuable information, is more difficult to maintain a future implementation plan.

Even when SMNOs develop a strategic plan, with limited resources, their primary mission usually consumes their available time with more short-term needs. The use of SRM in nonprofit organizations is not well documented in the literature. Nonprofit organizations typically contract external expert resources to assist in strategic planning. A logical reason for the use of external planning resources is that nonprofit organizations may not have the functional expertise to perform this level of strategic planning.

CHAPTER 3 METHODOLOGY

3.1 Research Method/Plan

The research plan is composed of a qualitative method that relies on expert judgment and a case study to validate the strategic road-mapping (SRM) model along with the literature development work. In its final form, a strategic roadmap is a visual representation of themes or initiatives on distinct swim-lanes. It includes past and current states, long-term goals or aspects of the vision, and future steps or milestones to implement an organizational strategy. A foresight modeling framework based on technology road-mapping was initially constructed from a

structured literature review that helped to define the main roadmap swim-lanes and elements. The literature search revealed the significance of road-mapping and its value in nonprofit organizations' strategic planning process. Since road-mapping was being applied to strategies for nonprofit organizations, their strategic and operational priorities were also researched. The strategic roadmap framework was further developed into a model by utilizing expert judgments via a modified Delphi method [78]. The Delphi method is a forecasting or assessment process based on multiple rounds of questionnaires representing research instruments sent to a panel of experts [79] [80]. The goal was to have a resultant strategic roadmap framework for small to medium nonprofits as validated by the first questionnaire. Another set of questions in the second questionnaire was for the decision-makers of SMNOs to validate the top-level swim-lane elements and their priorities along with the strategic planning and forecasting process. The third set of questions in the last questionnaire provided an SRM implementation plan for a case study that operationalized the strategic roadmap by linking the top-level strategic elements to specific practitioner-based tasks. The case study was used to gather SRM planning implementation along with QFD to link the elements to the planning process. The Delphi method should be considered for social researchers, community practitioners, and policymakers [81], such as in SMNO research. This modified Delphi method utilized a web survey that contained Likert (5 level ranking measures of importance) scale questions for two of the surveys. The computer-aided questionnaires shortened the participation and analysis process since they included tools that aided analysis. It has been stated that a modified Delphi method can increase the speed of data transmission, improve the ability to analyze the questionnaire information, and increase participant confidence in the questionnaire process [82].

Each questionnaire expert judgment feedback built a validation stage that leads to the SRM framework that was developed. Figure 7. depicts the process of modeling the strategic roadmap process. The modeling progresses from the SMNO SRM framework assessment into the development of the perspectives and their criterion, functions, and task element outcomes. The validation of the strategic roadmap framework with expert judgment, taxonomy definitions of these elements, and case application leads to the results and conclusions.

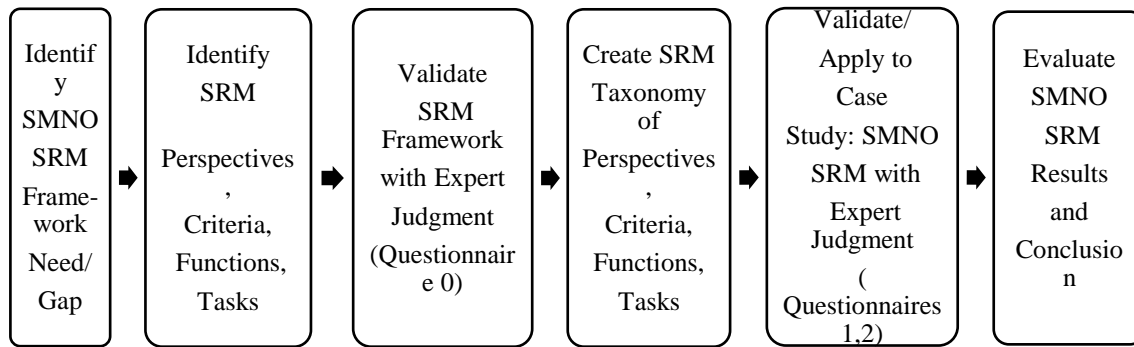


Figure 7. Strategic road-mapping research process

Figure 8. refers to the research plan that was followed. Figure 9. refers to the research methodology, and Table 2. refers to the research methodology definitions.

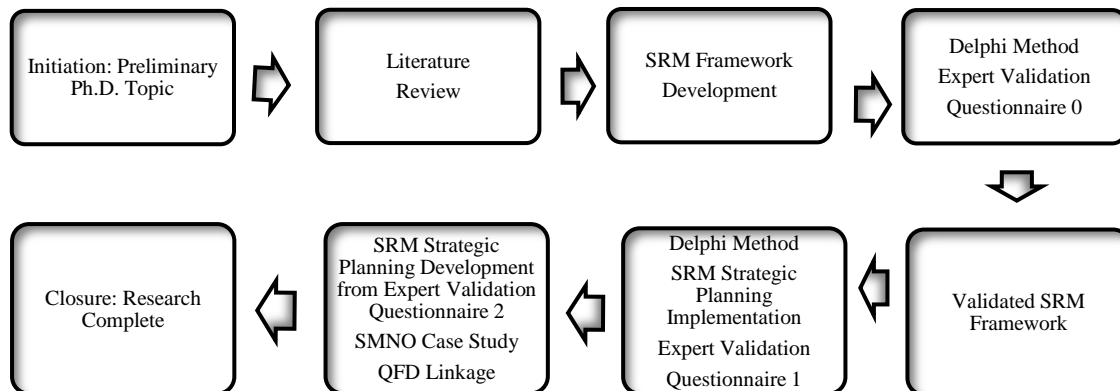


Figure 8. Tenney Research Plan

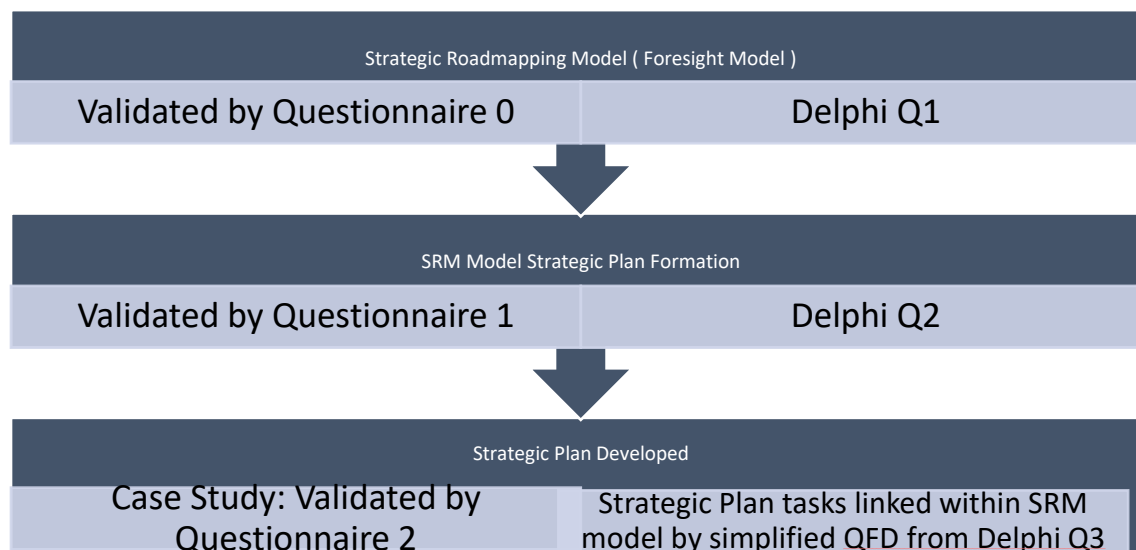


Figure 9. Tenney Research Methodology

Table 2. Research Methodologies Definitions

<p><u>Case Study</u>- A mental health nonprofit agency for children was chosen to help validate the SRM framework and planning process implementation.</p> <p><u>Experts</u>- Persons with greater than 10 years of nonprofit organization strategic and leadership experience that were willing and able to participate and apply constructive questionnaire feedback to the SRM framework and subsequent planning implementation process.</p> <p><u>Strategic Road-mapping (SRM)</u>-Strategic road-mapping is a forecasting methodology that leads to decision analysis. An SRM framework was developed through the literature review using an Hierarchy multi-level charting approach.</p> <p><u>Modified Delphi Method</u>- The Delphi method is a forecasting process framework based on multiple rounds of questionnaires sent to a panel of experts. A modified three stage questionnaire validation approach was used to develop the SRM framework and to assess the SRM planning implementation.</p> <p><u>Simplified Quality Function Deployment (QFD)</u>- Quality Function Deployment is a known process that was developed to determine the needs of the customer, client or organization and then uses this knowledge to rate and create an improvement plan based on this knowledge. In this case the QFD links and prioritizes the elements,</p>

3.2 Questionnaire Process

The modified Delphi method was used to validate the SRM model. The Delphi Method is

a structured communication technique originally developed as a systematic interactive forecasting method that relied on experts' panel. Typically, the experts answered two or more rounds of questionnaires.

The results were tabulated and analyzed using a qualitative decision-making method to create the finished consolidated SRM framework model. Even though the experts possessed multiple backgrounds, they met the criteria that were required to provide expert validation judgment. They had to be real experts in their field on nonprofit management, have the capacity and willingness to participate in the survey questionnaire, and effectively communicate and defend their questionnaire feedback [78]. The questionnaires were anonymous with direct interviewing contact as a final process step. Questionnaires (1 and 2) had open access to the online questionnaires. The experts had to be willing to participate in a validation process that required more than 20 responses each in 5 perspectives (STEEP) for questionnaire 0 and 11 responses for each of the other two questionnaires (1 and 2). The questionnaire processes were accepted as a compliant Internal Review Board (IRB) process. Snowballing was used to build the respondent base for the study. This technique was based on word of mouth references, and in many cases, required an introduction from the willing participant to their recommended participant. Willingness to help their cause created a more engaged and willing participant. Lastly, it was almost always necessary to meet in person to gather the richest feedback. However, the Covid-19 pandemic modified the contact to video conferencing, email correspondence, or phone for questionnaires 1 and 2. The process of requesting support lent a 3 to 1 factor of participation response even with this direct referral method. Ultimately, nine key experts participated in questionnaire 0, 14 experts participated in questionnaire 1, and 11 experts participated in questionnaire 2 from a total list of 34 potential experts. Some of the experts

participated in more than one of the questionnaires. A consensus approach was used to finalize the questionnaire input interpretation. There were no significant disagreements except when there was a range of opinions on the length of planning intervals. A consensus among the experts was reached. Clear definitions and taxonomy of the questions' elements were created to avoid misunderstanding or misinterpretation of the questions. Making the definitions more precise and direct interaction served to clarify questions and to alleviate disagreements among the experts. Disagreements were found to be based on the need for more information than was provided and was resolved with further discussion and clarification. The experts' sample size was appropriate based on their background and desired experience with nonprofit management and planning [17]. In this validation process method, the experts must have nonprofit organization experience and an understanding of the STEEP perspectives in this area. Table 3. depicts the questionnaire expert background information.

Table 3. The Background Information on Hi-level Nonprofit Leaders

Expert #	Roles	Qualification: Years of Experience	Qualifications: Areas of Specialty	Areas of Interest	STEEP Area Covered
	CEO, Executive Director, Sr VP, Partner, Chief Legal Counsel, CFO, and Directors	Average experience is > 10 years; the range is 10 – 35 years	Nonprofit: Governance, Leadership, Social Service, Finance, Fundraising, Board Members	Financial and Corporate Governance, Leadership, Social Service	Social, Technical, Economic, Environmental, Political
1.	Chief Counsel Healthcare and Financial Institutions, Board Member	35+	Corporate governance, legal research, securities regulation, many years of executive-level banking experience	Multiple nonprofit board representation actively providing governance and legal consultation	Primary areas are Social, Economic and Political
2.	CFO Healthcare Clinic, Regional Hospitals, Board Member	30+ years	Financial	Financial and nonprofit financial governance	Economic and Political

3.	Partner Tax Accounting, Board Member	25+years	Corporate Audit/Finance	Finance	Economic
4.	CEO Healthcare, Board Member	30+years	Clinical therapy, corporate leadership	Nonprofit mission and success	Social, Technical, Economic, Environmental, Political
5.	Director Compliance Healthcare Clinic, Board Member	25+ years	Quality and Compliance	Nonprofit strategy/improvement	Social, Technical, Economic, Environmental, Political
6.	IT Manager	15+ years	Nonprofit support, IT management	Nonprofit Sustainability	Social, Technical, Economic, Political
7.	Development Director	10+ years	Nonprofit fundraising	Nonprofit success/sustainability	Social, Technical, Economic, Environmental, Political
8.	CEO Healthcare, Board Member	20+ years	Corporate Leadership	Financial and nonprofit financial governance	Economic, Political
9.	Sr Finance VP Healthcare, Board Member	30+ years	Financial	Financial and nonprofit financial governance	Economic and Political
10.	Program Director	20+ years	Nonprofit Social service	Nonprofit social service	Social, Political
11.	Program Director	17 years	Nonprofit Social service	Nonprofit social service	Social, Political
12.	Human Resource Director	22 years	Profit and Nonprofit HR support	Social, Political	Social, Political
13.	IT Analyst	10 years	Profit/Nonprofit IT support	Technical	Technical
14.	Medical Director	35 years	Profit/Nonprofit Social support	Social, Political, Environmental	Social, Technical, Environmental Political

A summary of the questionnaire is depicted in Table 4, the full questionnaire 0 survey is available in Appendix 4.

Table 4. Expert Questionnaire Summary

SRM Questionnaire Summary				
Questionnaire	No. of Questions	Question Format	Questionnaire Objective	Number of Participants
Questionnaire 0	20	Yes/No/Open Ended	SRM Framework Validation	9
Questionnaire 1	11	5 Point Likert Scale/Open Ended	SRM Planning Initiation/ Validation	14
Questionnaire 2	11	5 Point Likert Scale/Open Ended	SRM Planning Elements Validation	11

Questionnaire 0: Category Summary and Sample Questions				
SRM Framework Validation				
Forecasting and Time Periods				
Yes/No/Comment/Open-ended questions				
1. Are the major lanes and sub-lanes representative of the dimensions/perspectives important for long term planning for SMNOs?				
2. Is a roadmap important for your planning and policy-making that includes a planning timeframe?				
3. Planning lanes extending to 20+ years. Is 20 years the right target (Till 2040)?				
4. Is it important to have the vision for each lane as part of this planning process? This includes “backward-looking as well as forward forecasting.”				
5. Definitions and Perspectives (refer to Table 3) STEEP (Social Technical Economic Environmental Political) Perspectives				
Questionnaire 1: Category Summary and Questions				
SRM Determinants to Initiate a Strategic Plan				
5 Point Likert Scale Questions: 1 = not at all 2= some 3= moderately 4 = strongly 5 = extremely				
One Opened-ended Question				
1. How important is it to have an initial strategic plan agreement before starting the process?				
2. How much has the current Covid-19 scenario changed your need to implement a new strategic plan?				
3. How important are key decision-makers in contributing and supporting a successful plan implementation?				
4. How important is it to form a strategic planning team with key decision makers and process experts?				
5. How important is leadership support to develop and implement a strategic plan?				
6. How important is it that the strategic plan aligns with the decision-makers’ authority?				
7. How important is it to determine the organization’s Strengths and Weaknesses?				
8. How important is it to determine the organization’s Opportunities and Threats?				
9. Do you agree with the following statement: “It is best to develop a strategic plan after the initial agreement and decision-making team is firmly in place?”				
10. How important is it to allocate adequate time for the decision-making team to develop and implement a strategic plan?				
11. Please provide feedback regarding other necessary aspects of strategic planning implementation:				
Questionnaire 2: Category Summary and Questions				
Correlation of elements in the SRM Framework to Figure 10 (HIERARCHY OF ROADMAP ELEMENTS)				
5 Point Likert Scale Questions: 1 = not at all 2= some 3= moderately 4 = strongly 5 = extremely				
One Opened-ended Question				
1. How much has the current Covid-19 scenario changed your need to implement a new strategic plan?				

2.	How important is it that an infrastructure assessment including, HR assessment, Technology, and New Business Models, be conducted as part of developing and implementing a strategic plan?
3.	How important is it that Social perspectives such as health, cultural acceptance, employment, and mission be included in the infrastructure assessment to develop and implement a strategic plan?
4.	How important is it that an infrastructure assessment, including management and leadership development, and measurement, including data outcomes, be conducted?
5.	How important are Technical perspectives such as data-driven analysis, continuous improvement, and social media input in the infrastructure assessment leadership support to develop and implement a strategic plan?
6.	How important is it that funding assessment include current financial practices, exploration of collaboration, and potential new funding opportunities?
7.	How important are Economic perspectives such as meeting, sustaining, forecasting, and balancing programs, and planning to develop and implement a strategic plan?
8.	How important are Environmental perspectives such as assuring environmental safety and health and wellness to develop and implement a strategic plan?
9.	How important is it that governance includes a review of the mission, recruiting and orienting board members, and developing a board training plan to develop and implement a strategic plan?
10.	How important are Political perspectives such as meeting organizational, government, and industry requirements, attaining political backing, and understanding regulatory risk to develop and implement a strategic plan?
11.	Please provide feedback regarding other necessary aspects of strategic planning implementation in your organization.

3.3 SMNO Road-mapping Framework: A Case Study

A mental health nonprofit agency for children was chosen to help validate the SRM framework. The agency's mission is stated as "We provide children and families with culturally-informed mental health care and complementary supports, regardless of ability to pay." The organization resides in Southern Connecticut between New York City and Boston. They currently operate with approximately 125 full-time staff members and a maximum of one dozen interns. Their core competencies include social work and psychotherapy, including casework with in-patient and out-patient care. Their capacity to perform longer-range planning and process improvement is limited because of their lack of resources and know-how beyond servicing their mission. Validation of the research SRM framework was assisted by several key staff members, including the CEO and the Compliance Director. The overall SRM framework can be applied but linking it to the task level needs to be specific to the case study. The tasks that were generated in

the SRM framework were a result of the strategic planning process. This strategic planning process was formed with input from the Board of Directors and the Leadership team in 2019.

3.4 Evaluation of Small Medium Nonprofit Organizations Strategic Road-mapping Methodology

Strategic road-mapping is a forecasting methodology that leads to decision analysis. Multi-Criteria Decision Analysis (MCDA) has been applied to many applications, and analytic hierarchy process (AHP) is one popular MCDA methodology that was introduced in the 1970s by Thomas Saaty [83] that has application potential for this theme. Others such as Chen and Kocaoglu [84] have applied a similar variant of AHP to road-mapping called Hierarchical Decision Making (HDM). HDM is a multilevel assessment method that methodically helps to determine elements of the roadmap. Combining HDM with road-mapping can lead to a better decision-making process given the capability to better analyze multiple decisions that the road-mapping may present. For this model, a simplified hierarchy structure has been applied that will be referred to as a Hierarchy of Roadmap Elements. Figure 10. illustrates the hierarchy elements of the SMNO strategic road-mapping.

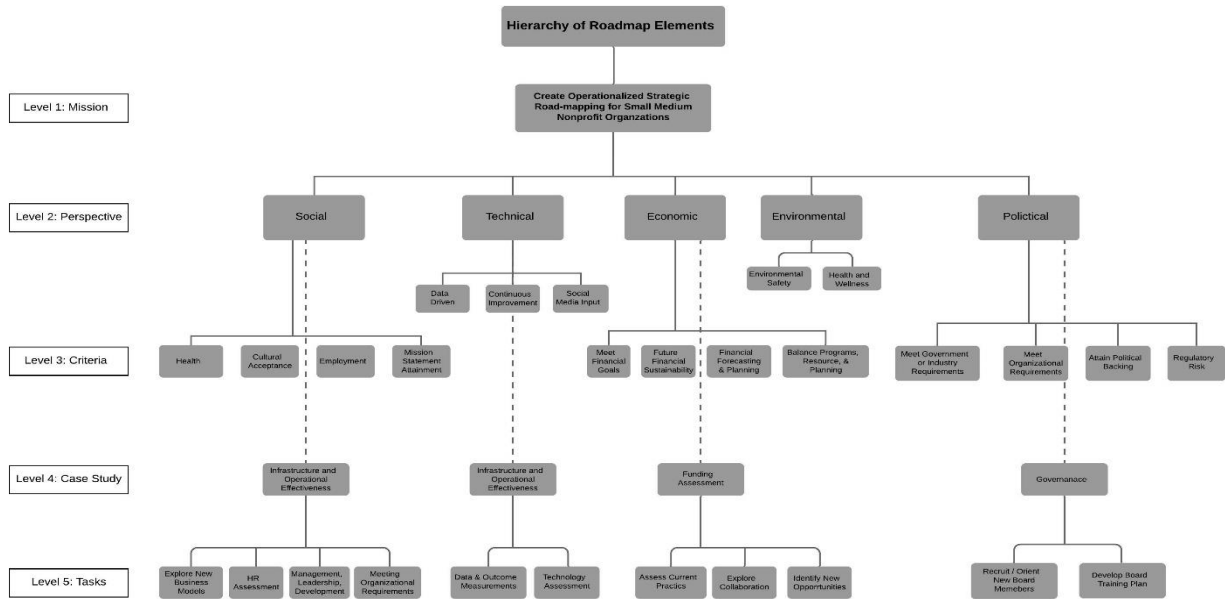


Figure 10. Strategic Roadmap Overview of Layers and Cross-Referencing of Elements

3.5 The Strategic Roadmap Framework, Perspectives, Criteria, and Tasks

Nonprofit organizations benefit when they apply strategic planning[13, 85]. The goal of a nonprofit organization is to meet its mission. This objective can be less quantifiable and requires a unique set of skills[21]. These skills and the lack of overall manpower may hinder strategic planning. Strategic road-mapping is a specific subset of a strategic planning model and is not familiar to the nonprofit world. Perspectives in the SMNO community are linked to areas of connection that include Social, Technical, Economic, Environmental and Political (STEEP).

Harold Linstone was a pioneer in evaluating technologies that used multiple perspectives sustainability. However, environmental, and technical perspectives are an important auxiliary area to aid daily operations and to assure a safe and efficient environment. Political perspective is vitally important in areas such as regulatory and risk management to assure SMNO viability and sustainability.

The five perspectives of STEEP are considered the major roadmap lane. The roadmap sub-lanes form the criteria that compose the perspectives. The functions are critical elements of the criteria that define the functions. Tasks in the SRM framework were part of the case study that was used to help validate the framework. The time-based columns range from looking back two years to the present to five years into the future for the specific planning forecast. The 20 plus year vision column is not exacting and is used to formulate a theoretical long-term vision. Expert judgment determined that most SMNOs cannot forecast past the three to five-year future horizon given the level of uncertainty in these organizations' environments, so a five-year future forecast column was used. Multiple aspects of the STEEP perspectives cause the uncertainty. They may include dynamic social change, unexpected technological innovation, unforeseen good, and bad economic changes, or political changes that may change the regulatory environment.

Management in nonprofit organizations typically focuses on social aspects, specifically meeting the mission and staying on track for its vision. This differs from for-profit organizations that focus mainly on profitability and all aspects that lead to profitability. However, nonprofit organizations that measure their performance management have been known to make better decisions [21]. The use of recognized decision-making tools such as road-mapping fills a gap area for nonprofit organizations, especially SMNOs. Table 5. defines the STEEP perspectives while Table 6. depicts the SRM framework and includes the five STEEP perspectives. It is this SRM that forms the framework that is the proposed model to be uses in developing an SMNO strategic plan. The definitions were developed starting with the literature review of multiple articles. The definitions were supplemented with expert feedback from the questionnaire process, adding to the taxonomy.

Table 5. Taxonomy of Strategic Road-mapping Perspectives for SMNOs

Perspective	Description
SOCIAL (S)	The social or sociological perspective is broadly the study of humans and their social interactions. This involves the ways and means that these interactions shape communities and society as a whole. This perspective includes criteria or sub-criteria that have a significant positive or negative impact on society. Social criteria may include 1) Health, 2) Cultural acceptance, 3) Employment and 4) Infrastructure and Operational Effectiveness. Sometimes social and political perspectives are combined because the boundaries are blurred. For this research, these two perspectives are separated. Criteria such as policies, regulations, and other actions of policymakers are considered under the political perspective
TECHNICAL (T)	The technical perspective represents the point of view and priorities of technical managers, technologists, social workers and clinicians, and others that may contribute that add value to the overall mission of the SMNOs. This perspective incorporates the technologies, methodologies, and technical skills and considerations that enable SMNOS to remain competitive and meet the specific demands of the mission. For this strategic roadmap the main criteria that make up the technical perspective include 1) Data-driven and measured outcomes, 2) Business intelligence that incorporates social media tools such as Instagram, Facebook, and Twitter, and 3)Healthcare/business automation including patient treatment, scheduling, billing and employee administration such as payroll and organizational development aspects, and 4) Infrastructure and operational Effectiveness.
ECONOMIC (E)	The economic perspective incorporates the cost of and financial sustainability of SMNO operations. The economic perspective recognizes that SMNOs will not remain functional and able to meet its mission unless they can sustain their financial viability. Criteria may include 1) Meet financial goal, 2) Future financial sustainability, 3) Financial forecasting, planning and monitoring, and 4) Balancing programs, resources, budgeting, accountability, and financial planning.
ENVIRONMENTAL (EN)	The environmental criteria have an impact on the SMNO environmental culture and subsequent market impact. Environmental criteria form a necessary foundation to maintain at the necessary level of functionality allowing them to meet mission demands. Criteria may include 1) Cultural acceptance, 2) Environmental safety and impact and 3) Hygienically

Perspective	Description
	acceptable surroundings. Many times, local community nonprofit organizations are located close to the population they serve to provide access and to assure cultural acceptance. This may be in lower-income neighborhoods so safety and cleanliness are criteria that must be assured as well.
POLITICAL	The political perspective criteria make up political motivation, policies, and regulations that represent the SMNOs relating to the government or the public affairs of the area that govern the SMNO. Criteria may include 1) Meet government or industry requirements, 2) Meet organizational policies, 3) Attain political backing, 4) Account for and mitigate regulatory risk and 5) Governance. Political and social perspectives may be intertwined but for purposes of this exercise, their criteria must be independent..

Appendix 3 (Taxonomy of Strategic Road-mapping Criteria, Functions, and Tasks for SMNOs) provides extended definitions of the SRM framework beyond the STEEP perspectives. Each perspective may consist of multiple criteria that will address the SMNO system and structure. In turn, each criterion is composed of multiple functions that serve to provide an operational outcome. For the sake of this study, specific tasks were determined as part of the case study strategic planning process. These definitions are a taxonomy that was created from the details of the framework development. These details were based on the literature, expert judgment feedback, and a thorough definition process. The definition process included the following for these sub-perspective descriptors:

- Core definition based on association with the nonprofit planning process
- Include an associated phrase or sentence for each definition
- Determine why this is important
- Include any assumptions in this definition
- Describe any limitations to this description

- Include a scale rating that evaluates the impact of this descriptor
- Include all levels below the perspective, such as policy, function, and tasks
- Figure 11. Provides a visual overview of how the elements are linked in SRM framework.

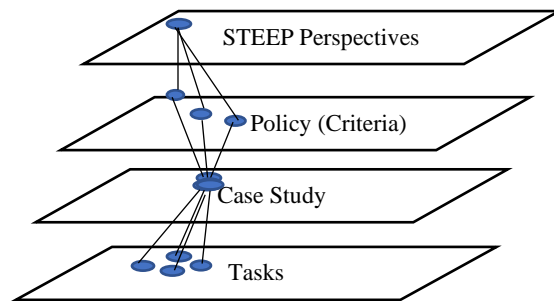


Figure 11. Strategic Roadmap Overview of Layers and Elements

The linkage of the elements from the Hierarchy of Road-mapping Elements chart in Figure 10. is a progression that flows from the STEEP perspectives to the Policies which are the STEEP criteria to the specific functions within each policy to specific Tasks which are the outcomes of planning at the Case Study level. This visual progression of the layers forms the framework of the strategic roadmap in Table 6. below. The layers become the column headers and their sublevel elements are the basis for the planning elements. The columns to the right of the layer columns are the time periods that are projected for the foresight planning that take into consideration the past and present so that a forecast can be projected. This in turn becomes the desired planning information that is developed by the select SMNO planning team that includes the necessary functional representation.

In summary, the visual hierarchy roadmap element chart (Figure 10) pictorially represents the strategic roadmap structure. The layers in Figure 11. become the SRM planning framework that the functional planning team uses to develop the future strategic plan.

Table 6. Strategic Small Medium Nonprofit Road-mapping Framework

Roadmap Lane	Roadmap Sub-Lane Criteria	Functions	Tasks (Case Study Level)	-2 Yr	Present	+5 Yr	Policy Vision (+20Years)
Social	S1: Health	S1:F1: Physical Well Being					
		S1:F2: Preventative Care					
		S1:F3: Mental Health Support					
	S2: Cultural Acceptance	S2: F1: Cultural Diversity					
		S2:F2: Cultural Inclusion					
		S2:F3: Cultural Tolerance					
		S2:F4: Cultural Difference					
	S3: Employment	S3.F1.: Paid Work					
	S4: Infrastructure and Operational Effectiveness	S4.F1.: Physical Support Mechanisms	S4: F2:T1: Explore New Business Models				
		S4:F2: Operational Effectiveness	S4: F2:T2: HR Assessment				
			S4: F2:T3: Management Leadership Development				
			S4:F2: T4: Meeting Organizational Requirements				
Technical	T1: Data-driven and Measured Outcomes	T1.F1: Data Collection and Analysis					
		T1.F2: Artificial Intelligence					
	T2: Continuous Improvement and Delivery	T2:F1: Routine Improvement					
		T2:F2: Break Through Improvement					
	T3: Social Media Input	T3:F1: Social Networking					
		T3:F2: Business Intelligence					
	T4: Infrastructure and Operational Effectiveness	T4:F1: Physical Support Mechanisms	T4:F2: T1: Data and Outcome Measurements				
		T4:F2: Operational Effectiveness	T4: F2:T2: Technology Assessment				
Economic	E1: Meet Financial Goals	E1:F1: Financial Target					
		E1:F2: Debt Reduction					
		E1:F3: Sufficient Revenue					
	E2: Financial Sustainability	E2:F1: Business Success					
		E2:F2: Financial Obligations, Risks and Opportunities					
	E3: Financial Forecasting and Planning	E3:F1: Budgeting					
		E3:F2: Financial Outcomes					
	E4: Balance Programs, Resources, and Financial Planning	E4:F1: Financial Programs					
		E4:F2: Balancing Human capital					

	E:5 Funding Assessment	E5:F1: Funding Progress	E5: F1:T1: Explore Collaboration				
		E5:F2: Funding Monitoring	E5: F1:T2: Identify New Opportunities				
			E5: F2:T3: Assess Current Practices				
Environmental	EN1: Environmental Safety	En1: F1: Environmental Policy					
		En1: F2: Safe Environment					
		En1:F3: Dangers					
	EN2: Health and Wellness	En2:F1: Health Practices					
		En2:F2: Control Measures					
		En2:F3: Good Health					
Political	P1: Meet Industry Requirements	P1:F1: Legal Requirements					
		P1:F2: Qualifications					
		P1:F3: Compliance Programs					
	P2: Meet Organizational Policies	P2:F1: Organizational Practice					
		P2:F2: Organizational Guidelines					
	P3: Attain Political Backing	P3:F1: Political Participation					
		P3:F2: Political Advocacy					
		P3:F3: Political Acceptance					
	P4: Regulatory Risk	P4:F1: Change Control					
		P4:F2: Compliance					
		P4:F3: Operational Licensing					
	P5: Governance	P5:F1: Social Norms	P5:F3:T1: Recruit/Orient New Board Members				
		P5:F2: Institutions	P5:F3:T2: Develop Board Training				
		P5:F3: Rules					

CHAPTER 4 RESULTS

4.1 Questionnaire Results

The validation of this research relied on expert judgment relating to three separate sequential questionnaires. The questionnaires were sequenced to span from the initial SRM framework validation to the validation of strategic planning initiation determinants, and then finishing with expert judgment validation of the SRM elements that constitute the planning framework of the case study. It was necessary to develop each one of these questionnaires and

then interpret the results. This interpretation was based on expert feedback along with a correlating literature review.

- Questionnaire 0: SRM Framework Validation: Expert opinion and literature review were used:

Summary of the 20 questions in the questionnaire:

1. The majority opinion to not go beyond five years for forecasting. This was based on the degree of uncertainty in forecasting nonprofit's future challenges. It was agreed that change is imposed by political and governmental factors beyond the nonprofit's ability to forecast. With this rationale, the majority thought three years was the ideal future planning target, with five years as the limit of potential forecasting visibility.
2. The majority opinion was to leave vision planning in the framework. A 20-year forecast period was originally prescribed in the SRM planning framework. Most experts rejected 20 years as a forecast because the uncertainty beyond 3-5 years was significant. However, when the 20-year forecast was described as a theoretical time forecast that represents well beyond the current scenario, the experts agreed that the vision should be well into the future. This vision time frame creates a scenario that is far enough into the future where the planning team must project change that may be disruptive and therefore form a strategy that must be considered relative to the current setting. It is useful to set long-term aspirations with shorter time period stepping stones [86].
3. A Healthcare CEO puts more weight on the Political perspective as an influencer. This expert with over 35 years of executive-level nonprofit experience acknowledged the importance of Social perspective understanding that the nonprofit organization must recognize and understand. It is here that most nonprofit organization's mission is created.

However, the political aspect weighed down by social significance and government regulations plays a significant role in influencing the nonprofit organization's planning pathway.

4. A SR Finance VP in Healthcare suggested combining 5-year Strategic Planning with Annual Business Planning. This high-level nonprofit expert leads planning and finance for a large nonprofit hospital. He argued that daily operational business planning should not be separated from longer-term strategic planning. He stated that the funding to implement the strategic planning must be derived from the operating budget that resides in the business plan that is short to intermediate in duration. Continuous planning and strategic planning are essential and highlight the need to ensure both are conducted in an organization [87]. Operational and budget planning are continuous planning, and strategic planning relies on ongoing operational planning to help fund its longer-term needs.
5. One CEO suggested broadening the health category to health and wellness, which the majority agreed with. Several other experts echoed this suggestion, and it was decided to expand the category since wellness is a process of becoming aware and making choices that affect health.

- Questionnaire 1 – SRM Determinants to Initiate a Strategic Plan:

Summary of responses to Questionnaire 1:

1. Leadership must support the planning effort. Transformational leadership figures prominently in vision-based strategic planning and is more critical than transactional leadership[88]. Leadership should encourage diversity and knowledge holders in the strategic planning process. This creates an environment of open planning. The strategic

plan's success depends on the proper planning team with transformational planning, not just doing what has always been done. The implementation of the plan must have leadership support to ensure adequate resource deployment and measurable results.

2. Must have staff buy-in and input and overall employee engagement. Planning in nonprofit organizations can be difficult due to limited resources, competencies, and a lack of appropriate goals and measurements. Transformational leadership was shown to motivate employees [89].
3. Need proper communication across an organization. Communication is a fundamental requirement of planning both for its development and implementation. It was determined that effective communication is critical for organizations to engage their employees and achieve objectives and strategies [90].
4. The SMNOs must be realistic in scope and planning duration. Plans that are too broad will have difficulty in their implementation. Plans too far into the future will have less accuracy due to more significant uncertainty of the longer time horizon.

The analysis of the responses to the Likert scale questions are obtained via Questionnaire 1, which focuses on the SRM Determinants to Initiate a Strategic Plan. The analysis of this questionnaire is provided in Figure 12.

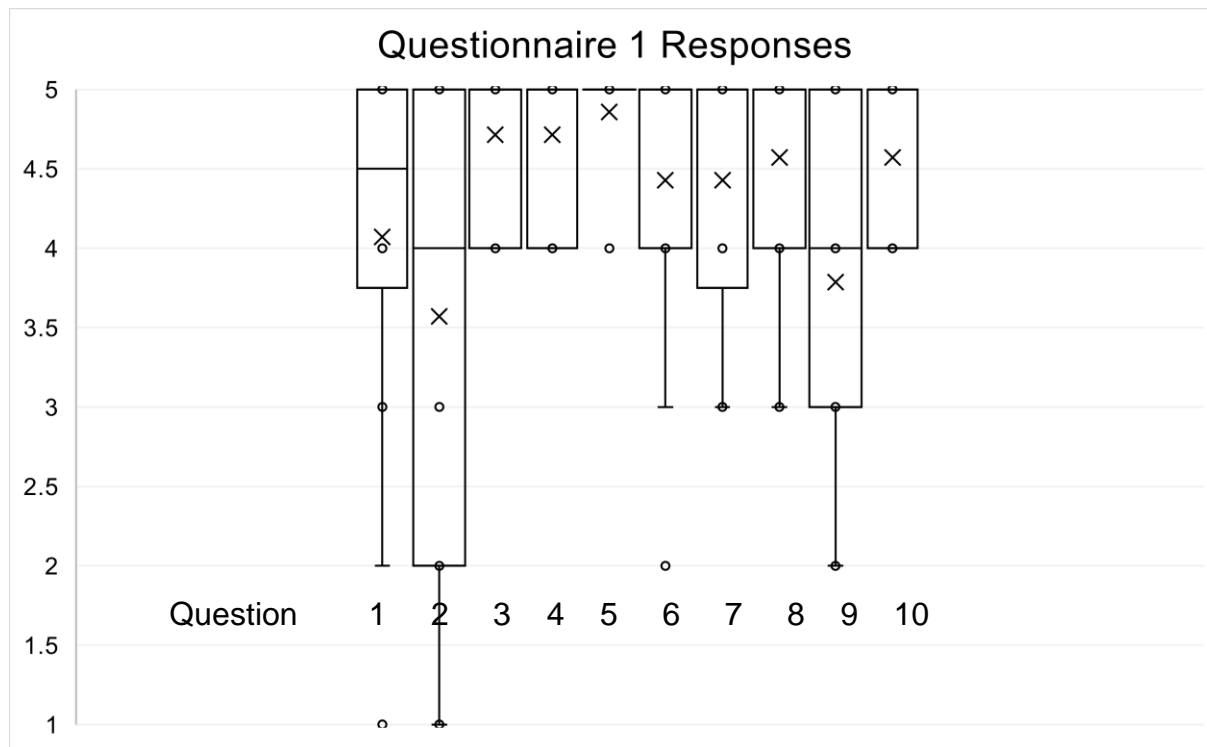


Figure 12. The Results of Questionnaire 1

Observation: Only Questions 2 and 9 had a mean value of less than 4. The interpretation is that if the mean value is less than 4 then the experts did not consider it to be as significant as the other questions.

Question 2: An interpretation of this question is that the experts believe that the current Corona Virus pandemic has not diminished the need for strategic planning.

Question 9: An interpretation of this question is that the experts may not want to delay the strategic planning process with too much formalization of an agreement that may hinder the planning and implementation process.

- Questionnaire 2 – Case Study: Correlation of elements in the SRM Framework to the hierarchy planning level chart (Figure 2):

Summary of response to the Open-ended question (refer to Table 2, question 11):

1. There is a strong need to prioritize and assign appropriate resources.

Resources, including financial, human, and appropriate infrastructure, must be available.

Many nonprofit organizations have programs tied to their mission. These programs must be resourced to accomplish their goals. Strategic planning is time-consuming and can cost resources that SMNOs have limited access to [3] [28].

2. Set realistic goals.

Setting appropriate and realistic goals is critical for success. The goals are the outcome of proper planning and must be measurable. Goals must be properly targeted to key programs, and those programs should reflect the organization's vision and mission.

Nonprofit leaders must keep their employees focused on challenging goals given their ever-changing environment and limited resources [85].

3. Assure appropriately trained and developed workforce.

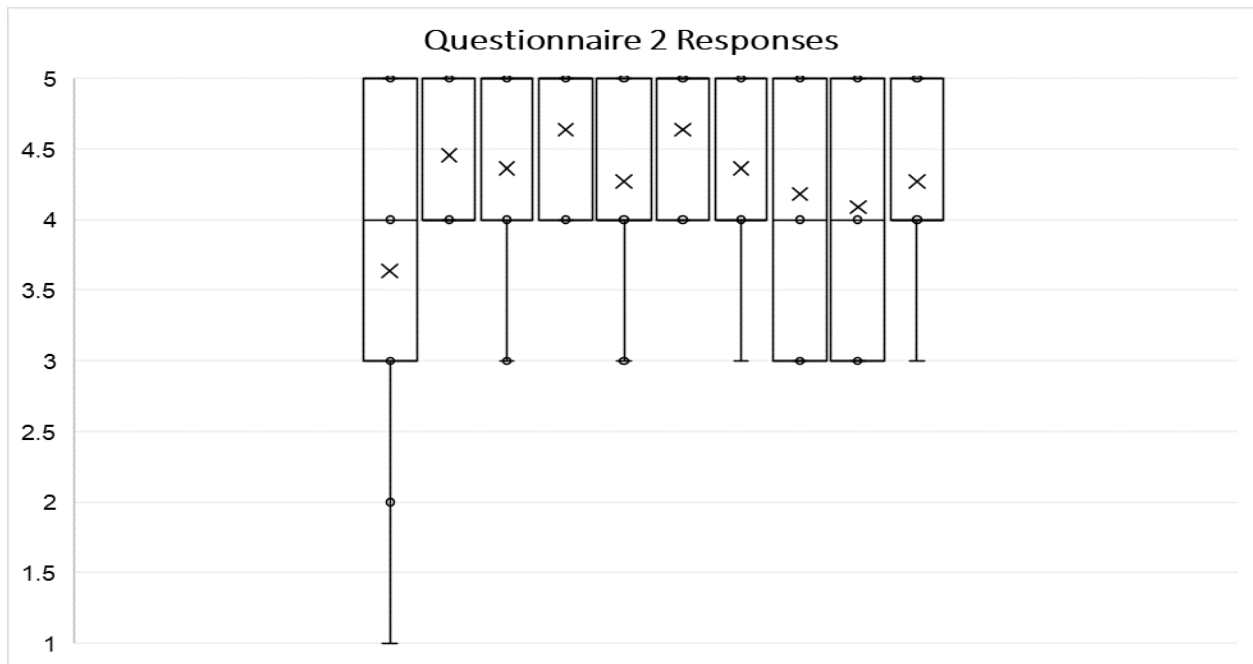
Training can be overlooked, especially with nonprofit organizations that are already lean and many times, understaffed. However, the organization's success relies on having a healthy workforce, and this requires competent employees who are trained and developed to meet the needs of their clients. Nonprofits need and want training and development as long as the demand is consistent with their goals and needs [91].

4. The model is relevant to the community that the respondents serve.

Participants must represent the organization and the clients it serves but open to growth in

the proper areas. Strategic planning is perceived as necessary in community based small nonprofit organizations [3].

The analysis of the responses to the Likert scale questions is obtained via Questionnaire 2, which focuses on the correlation of elements in the SRM Framework to the hierarchy planning level chart. The analysis of this questionnaire is provided in Figure 13.



Question	1	2	3	4	5	6	7	8	9	10
Mean	3.64	4.45	4.36	4.64	4.27	4.64	4.36	4.18	4.09	4.27
Std. dev.	0.39	0.16	0.24	0.15	0.24	0.15	0.20	0.26	0.25	0.19
Median	4.00	4.00	5.00	5.00	4.00	5.00	4.00	4.00	4.00	4.00
Mode	4.00	4.00	5.00	5.00	5.00	5.00	4.00	5.00	4.00	4.00
Minimum	1.00	4.00	3.00	4.00	3.00	4.00	3.00	3.00	3.00	3.00
Maximum	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00

Figure 13. The Results of Questionnaire 2

Observation: Only Question 1 had a mean value of less than four. The interpretation is that if the mean value is less than 4 than the experts did not consider it to be as significant as the other questions.

Question 1 (How much has the current Covid-19 scenario changed your need to implement a new strategic plan?). An interpretation of this question is that the experts believe that the current Corona Virus pandemic has not diminished the need for strategic planning.

Table 7. summarizes the relationship of the questionnaires to the SMNO SRM validation process. The experts' judgments were used to validate each stage of the SRM research validation (Table 3.) The three questionnaires had questions that were connected to the stage of validation in Table 3. Knowledge of the SRM area developed the questions through expert judgment, literature review, and an SMNO case study that performed a planning process and developed elements and tasks at an implementation level.

Table 7. Research Questionnaire Data Evaluation Summary

Questionnaire/Objective	Research Questions Connection to SRM	Summary
Questionnaire 0	Expert research question answers validated the SRM framework by their knowledge of SMNOs and their planning needs.	This questionnaire validates the SMNO SRM creation.
Questionnaire 1	Expert research question answers validated the planning implementation needs by their knowledge of SMNO planning processes.	This questionnaire validates the planning that is necessary to initiate and implement an SMNO SRM.
Questionnaire 2	Expert research questions answers validated the planning elements needed by their knowledge of SMNO and a specific case planning application with specific tasks level planning usage.	This questionnaire validates elements at the planning task level through a case study.

4.2 STEEP Perspective Results

A simplified Quality Functional Deployment (QFD) method was developed using expert validation judgments from questionnaires 0 and 2 and from the literature [92]. The purpose was

to rate each element of the framework relative to the perspective that it is grouped with. This rating depicts the significance of the elements within the framework and may assist in prioritizing the SMNO process. 9 expert judgments from Questionnaire 2 were used to validate the perspectives of the SRM framework. Warren Brussee recommends using the simplified QFD to quantify options against customer or client objectives such that may be the case in a strategic forecast planning process [92].

The simplified QFD is a single process that incorporates the judgment data into a simple mathematical ranking equation that is cumulatively summed and then averaged. This average perspective score is the basis for ranking each perspective's value and its elements relative to each other. The ranking equation is built from a rating system developed to create a numerical value for each element and multiple times the rating value of each perspective. The rating value for each perspective and element was derived from a five-point Likert scale in questionnaire 2 and was qualitatively evaluated from open-ended questions in questionnaire 0. The simplified QFD Hierarchy Roadmap element rating used an Excel spreadsheet to capture the rating scales, rating perspective and element scores, and the average perspective scores.

A mathematical explanation of the rating calculations are as follows:

1. Perspective rating score = perspective rating x element rating
2. Total score = sum of the 1.
3. Average perspective score = 2. / number of elements

The average perspective score (APS) compares the rating of each perspective that includes their combined element calculation from above. The APS is a comparison metric that depicts a relative measurement of the STEEP perspectives. The difference between each APS

may appear slight, but it is important to factor in those differences. The APS scores are as such:

Perspective	APS Score
Social	21.7
Technical	17.7
Economic	22.6
Environmental	16.8
Political	16.0

It is important to understand that this rating is a point-in-time rating determined by the experts responsible for implementing the case study strategic planning process following the SRM model. The rating of the perspectives was determined from these experts and feedback from Questionnaire 0.

The social and economic perspective APS scores were deemed highest. This is consistent with the questionnaire expert judgment feedback. The other perspectives were close to their APS values. Each of these perspectives, including technical, environmental, and political, have important elements to consider, but their overall SMNO planning consideration is not as significant. The QFD information is listed in Table 8. below. Economic and Social perspectives are typical, SMNO planning priorities. The Political perspective is significant from a compliance and governance standpoint, while the Technical perspective provides a necessary understanding of the need to measure data and manage technology. The Environmental perspective was raised in importance due to the need for a safe environment that promotes health and wellness because of the Corona Virus pandemic.

Table 8: Simplified Quality Functional Deployment

Simplified Quality Function Deployment Hierarchy Roadmap Element Rating					
PERSPECTIVE	RATING	ELEMENT	RATING		
Social	5		*2 Refer to Individual Element Rating Below		
Technical	4				
Economic	5				
Environmental	4				
Political	4				
*0/ 2 (PERSPECTIVE-addresses customer need)	RATING SCALES	* 2 (ELEMENT-addresses need)			
5= Most desirable		5= Extremely			
4= Highly desirable		4= Strongly			
3= Moderately desirable		3= Moderately			
2= Somewhat desirable		2= Some			
1= Not desirable		1= Not at all			
PERSPECTIVE	CODE	ELEMENT	RATING SCORE (PERSPECTIVE * 0/2 x ELEMENT*2)	TOTAL SCORE (TS)= SUM of RATINGS	AVERAGE PERSPECTIVE SCORE (APS) =TS/N x 100
Social	S1	Health	5(4.3)=21.5	152	21.7
	S2	Cultural Acceptance	5(4.3)=21.5		
	S3	Employment	5(4.3)=21.5		
	S4	Mission attainment	5(4.3)=21.5		
	S5	Explore New Business Models	5(4.5)=22		
	S6	Technology Assessment	5(4.5)=22		
	S7	HR Assessment	5(4.5)=22		
Technical	T1	Data Driven	4(4.3)=17.2	88.4	17.7
	T2	Continuous Improvement	4(4.3)=17.2		
	T3	Social Media Input	4(4.3)=17.2		
	T4	Management Leadership Development	4(4.6)=18.4		
	T5	Data & Outcome Measurements	4(4.6)=18.4		
Economic	E1	Meet Financial Goals	5(4.4)=22	152.0	22.6
	E2	Future Financial Sustainability	5(4.4)=22		
	E3	Financial Forecasting&Planning	5(4.4)=22		
	E4	Balance Programs,Resources & Planning	5(4.6)=23		
	E5	Assess Current Practices	5(4.6)=23		
	E6	Explore Collaboration	5(4.6)=23		
	E7	Identify New Opportunities	5(4.6)=23		
Environmental		Environmental Safety	4(4.2)=16.8	33.6	16.8
		Health and Wellness	4(4.2)=16.8		
Political	P1	Meet Government or Industry Requirements	4(4.3)= 17.2	112	16
	P2	Meet Organizational Requirments	4(4.3)= 17.2		
	P3	Attain Political Backing	4(4.3)= 17.2		
	P4	Regulatory Risk	4(4.3)= 17.2		
	P5	Review Mission	4(4.1)=16.1		
	P6	Recruit/Orient New Board Members	4(4.1)=16.1		
	P7	Develop Board Training Plan	4(4.1)=16.1		

4.3 Case Study Results

A strategic plan was developed for the case study using the SRM framework. The process was facilitated with guidance from the author and included top agency leaders and the Board of Directors. The planning session developed in Table 9. The intent is for the owners to break the tasks into more discrete actions and develop performance metrics and indicators where

appropriate. The forecasting years were year 0 (present), year 5, and the vision with a 20+ forecast horizon to indicate a time well into the future. The vision is a theoretical future date long enough to project a very futuristic goal and forecast. It was decided not to look backward for this planning exercise, so there were no recorded – 2 years (looking backward), and the column as designated as Not Applicable (NA). Each of these tasks relates to the Case Study tasks that were developed and validated in Table 6. and have been identified with the same numbering system. The subtasks were the specific task outcomes that define the task categories for future action and goal setting in the forecast years. There were critical observations and learnings from the questionnaire process and the interaction with the planning committee team.

The planning committee participated in the two questionnaires that provided feedback about how to initiate a strategic plan (questionnaire 1), and the importance of the elements of the SRM including the tasks that were determined in the case study (questionnaire 2). It was learned that the strategic planning committee must be:

1. Knowledgeable in their respective areas
2. Given adequate resources and time to perform the process
3. Able to make timely decisions
4. Able to support or transfer the plan into action

Table 9: Case Study of Children’s Mental Health for Expansion of Services:
Related Tasks on the Strategic Roadmap

PERSPECTIVE	IDENTIFICATION	OWNER	Task/Subtask		YEAR - PLAN FORECAST GOALS		
				-2	0	5	20+ (Vision)
Social	S4: F2: T1	CEO	Explore New Business Model	NA	New Business Model process is established	Collaboration Alliances established	New business models enable expanded client needs being met for in and out patient services
	S4: F2: T1.1	CEO	Adjacent Services	NA	Staffing needs identified	Best organizational processes established.	Best staffing practices established.
	S4: F2: T1.2	CEO	Collaboration	NA	Explore joint ventures, forums, associations	Significant new ventures becoming established	Collaboration established to create a more open and flexible organization
	S4: F2: T1.3	CEO	Improved Requirements	NA	Assess/Develop/Improve Business Requirements	Business structure modified to accommodate new model	Formalized requirement structure established
	S4: F2: T2	HR Director	HR Assessment	NA	Human resources needs identified	Organizational fully functional meeting client needs	Flexible reengineered organization to meet visionary patient care expansion needs
	S4: F2: T2.1	HR Director	Talent Acquisition (New skills)	NA	Develop Job Descriptions for additional functions/certifications	Restructure the Organization	Employee skill improvements that have created improved/expanded services for in/outpatient care
	S4: F2: T2.2	HR Director	Talent Management (Training)	NA	Identify Employee training needs	Establish continual talent acquisition and training process	Talent Management Improvements that have created improved/expanded services for in/outpatient care
	S4: F2: T3	CEO	Management Leadership Development	NA	Identify leadership / management development requirements	Establish leadership development process	Best-in-class leadership development to create leading in/outpatient services organization
	S4: F2: T3.1	CEO	Change Management	NA	Identify change management tactics	Establish transformative processes	Improved management changes assisting with development of improved/ expanded in/outpatient services organization
	S4: F2: T3.2	CEO	Competencies Understood	NA	Identify leadership competencies	Leadership improvement	Best-in-class leader competencies assisting with development of improved/ expanded in/outpatient services
	S4: F2: T3.3	CEO	Delegation	NA	Improve bench strength	Empowered independency	Leading in/outpatient services organization with established practice of independent decision-making
	S4:F2: T4	Program Director	Meeting Organizational Requirements	NA	Organizational requirements defined	Improved Organizational structure developed	Best-in-class organizational practices assisting in expanded and increased organizational in/outpatient care
	S4:F2: T4.1	Program Director	Policies and Procedures	NA	Policies and Procedural needs defined	Policies and Procedures Process in Place	Structurally sound established policies and procedures that assist expanded and increased organizational in/outpatient care
Technical	T4:F2: T1:	IT Systems Director	Data and Outcome Measurements	NA	Performance Measurements System Improvement identified	Performance measurement system fully functional	Technology data/measurements enabling expanded/increased outcomes with in and outpatient services
	T4:F2: T1.1	IT Systems Director	Key Performance Indicators	NA	Key Performance Indicators identified	Performance measurement system embedded in employee goals	Best-in-class scorecard process and measurements
	T4:F2: T1.2	IT Systems Director	Data collection	NA	Data collection is defined and collection systems identified	Data collection is well established with useful outcome usage	Data collection is using best available technology and generating useful business intelligence.
	T4:F2: T1.3	IT Systems Director	Measurements	NA	Measurements are identified	State-of-the-art technology measurement capability to service clients	Measurements are established and utilized to generate expanded and improved patient in/ outpatient client services
	T4: F2:T2	IT Systems Director	Technology Assessment	NA	Technology needs identified	Technology meeting needs of the clients and organization	Technology as an enabler to meet increased and expanded in/out patient services for all
	T4: F2:T2.1	IT Systems Director	Technology hardware and software	NA	Assess and evaluate current architecture and conduct gap analysis; recommend needed IT hardware/software architecture	State-of-the-art technology architecture capability to service clients	Measurements are established and utilized to generate expanded and improved patient in/ outpatient client services
ECONOMIC	E5: F1:T1	CEO/Board of Directors	Explore Collaboration	NA	Identify and select obvious funding opportunities	Develop and Manage the Alliance	Ensure and maintain viability of In/Outpatient Services through Collaborative efforts
	E5: F1:T1.1	CEO/Board of Directors	Alliances for funding through foundations, NGOs	NA	Identify and select obvious funding opportunities	Develop and Manage the Alliance	Reengineered Organization to meet visionary expansion
	E5: F1:T2	CEO/Board of Directors	Identify New Opportunities	NA	Identify viable new options	Develop appropriate new opportunities	Collaboration is embedded in culture
	E5: F1:T2.1	CEO/Board of Directors	Nonprofit collaboration	NA	Identify viable new opportunities for collaboration	Develop appropriate new opportunities	New partnerships/alliances are embedded planning structure
	E5: F1:T2.2	CEO/Board of Directors	Partnerships/alliances	NA	Identify viable new opportunities for partnerships/alliances	Develop viable new opportunities for partnerships/alliances	M&A evaluation are embedded in planning structure
	E5: F1:T2.3	CEO/Board of Directors	Mergers/Acquisitions	NA	Identify viable new opportunities for M&A	Develop viable new opportunities for M&A	Best business practices adopted and continuously reevaluated to meet expanded and increased client in/out patients services
	E5: F2:T3	CEO/Board of Directors	Assess/Develop Current Practices	NA	Assess pertinent business practices	Adopt pertinent business practices	Sustain fundraising necessary to achieve expanded and increased client in/out patient services
	E5: F2:T3.1	CEO/Board of Directors	Fundraising/revenue enhancement planning/execution	NA	Establish fundraising plan	Adopt best fundraising plan with targeted revenue achievement	
POLITICAL	P5:F3:T1	Governance Board Chair	Recruit/Orient New Board Members	NA	Target and Identify the proper Board composition	Staff Board members to meet targeted composition plan	Maintain and develop Board to meet agency vision of expanded and increased in/out patient client services.
	P5:F3:T1.1	Governance Board Chair	Improve Board Diversity	NA	Create Board Diversity description/ start search	Hire more diverse Board members	The proper agency/ community diversity is representative of the Board composition
	P5:F3:T1.2	Governance Board Chair	Improve Board Fundraising competencies	NA	Target financially connected Board member additions	Create Board fundraising goals	Fundraising Board members are part of organizational structure
	P5:F3:T1.3	Governance Board Chair	Improve Board engagement	NA	Create Board connectivity events and more related Board committee agency exposure	Board is commonly interactive with agency staff and involved in critical planning needs	Board is considered vital to agency success,culture and morale improvement
	P5:F3:T2	Governance Board Chair	Develop Board Training	NA	Create Board training plan	Onboarding and ongoing Board training is conducted	Board training is a core component leading to best-in-class Board membership that assists with expansion and increased in/outpatient client services
	P5:F3:T2.1	Governance Board Chair	Board education/certification	NA	Identify board educational needs' job description	Board members meet job description requirements that are dynamic with the times	Best-in-class Board membership
	P5:F3:T2.2	Governance Board Chair	Board engagement	NA	Define Board engagement requirements	Engagement surveys include Board involvement and expectations.	Best-in-class Board engagement

CHAPTER 5 DISCUSSION

5.1 Strategic Roadmap Implementation

The implementation of an SRM framework was developed based on the creation by the author from the literature with significance from several key authors[2, 16, 41, 93], validation by nonprofit experts, a nonprofit organization case study, and guidance and support by the author's advisor, Dr. Nasir Sheikh.

5.2 Research Question Findings

- Question 1: Can a Strategic Road Map provide strategic direction to improve a Small Medium NonProfit Organization (SMNO)?
 - This is the fundamental question that emanates from the author's inquiry that attempts to create a unique SRM that is applied to a case study to assist with this answer.

Findings: Observation from the Case Study indicate that a solid strategic planning model with the appropriate functional input can form a strong planning foundation. Input from expert nonprofit leadership has provided feedback that this SRM model can be effective.

- Question 2: How can SMNO assessment be constructed that accounts for the impact of STEEP perspectives and their sub-criteria on strategic planning?
 - STEEP (Social, Technical, Economic, Environmental, and Political) perspectives are important considerations for SMO operations. The question examines the SRM framework's conceptualization framework and the possible application of the framework perspectives and sub-criteria aspects to develop a viable and unique strategic plan.

Findings: The literature review, expert nonprofit leadership input, and the case study indicate that STEEP perspectives are impactful in the SMNO community. STEEP are necessary considerations when accounting for the SRM model and subsequent planning activities

- Question 3: Can this SRM model be standardized such that it can be utilized to improve SMNO planning and performance?
 - This question was examined using an SRM framework that was validated through expert judgment and a practical case study with the intent of providing beneficial planning and performance outcomes.

Findings: Preliminary observations indicate that this model can be effectively used for planning. Sfleuch a methodology will have a beneficial performance impact on the SMNO based on the case study results. Future work should include further case studies that will provide increased evidence that this SRM is a viable strategic planning methodology for SMNOs. SRMs require modification based on the unique circumstances and requirements within each organization. The standard framework is assumed to be a flexible groundwork that it can be adapted to the organizations' unique needs.

- Question 4: How can SMNO stakeholders make better decisions based on the SRM model?
 - This question examines possible improved decisions when and if the SRM model is put into practice using the prescribed model.

Findings: The assumption is that if the SRM model leads to beneficial planning then the decision making that ensues is better. There is an important element that the decision-makers are ultimately responsible for the SRM planning execution. As mentioned, it requires proper leadership support to execute the plan.

CHAPTER 6 CONCLUSIONS

6.1 Summary and Future Work

The study presented a framework for a strategic roadmap applicable to an SMNO strategic planning process. Strategic planning and the execution that follows have been historically lacking in SMNO's due to limited resources and competencies necessary to execute such a plan. The use of recognized combinational decision making, strategy, and planning methodologies such as road-mapping fills a significant void for nonprofit organizations, especially SMNOs. The overarching goal for this model is to facilitate an effective the planning process that is operationalizable. Furthermore, the model was to validate a case study to improve the strategic plan of a children's health agency in Southern Connecticut.

This is the first study that applies comprehensive strategic road-mapping to SMNOs and as such, is a novel and effective approach to strategic planning. In this regard, a practical and scalable strategic planning model that previously has not been available to the SMNO community is developed and utilized in conjunction with the Delphi method. The proposed model is designed using an organization in Southern Connecticut as a case study. The CEO of the organization utilized the SRM in the Southern Connecticut agency to develop a strategic plan that met their organization's needs validating its effectiveness.

The questionnaire feedback was used to reach consensus to form decisions that validated each SRM process stage. The analysis of the questionnaire feedback created the final SRM model that was built upon a hierarchy of roadmap elements. From higher to more detailed, each level has been developed by the expert judgment that forms a framework for strategic road-mapping for SMNOs. Validated through expert judgment and a real-life case study, the SRM model is a valuable planning framework that SMNOs can implement for future planning

regardless of their focus. The model is designed in a way that is suitable to become a permanent part of their planning processes assisting in maintaining their mission-based viability in the long term. Given that proper planning is the first step to sustain long-term viability, SRM based frameworks provide a visual and flexible way to make a more comprehensive assessment of the many variables to which an SMNO is subjected while it develops its mission.

The implication of this research was to provide a practical and scalable strategic planning framework that previously has not been available to the SMNO community. This planning framework utilizes an SRM model and research methodologies that have been proven to be successful in other areas. It is assumed that the usage of this methodology to the nonprofit world will be successful given the extensive research that was conducted during its SMNO development, expert judgment validation and case study affirmation. It is believed that such a methodology will provide a valuable planning framework in which these SMNOs will be able to use as a renewable process for current and future planning. This, in turn, may become part of their arsenal which will assist in maintaining their mission-based viability. Proper planning is the first step to maintain long-term viability. However, the ultimate value to the nonprofit world is the execution of a strong strategic plan after it has been successfully developed. The execution of any strategic plan is dependent on two factors. Firstly, there must be change management that takes place, and secondly, there should be change leadership that coincides with change management. These two factors can be brought in together under a sound project management program. It has been stated that change management drives activities of change such as project scope, scheduling, cost, risk and like activities while change leadership creates a vision and is necessary to motivate people to perform these activities and therefore are interrelated to accomplish a successful strategic plan execution [94].

The study focused on a single mental health nonprofit organization in southeastern Connecticut. However, the flexible and versatile nature of the SRM model allows for usage in other SMNO organizations. Furthermore, despite that the experts had a deep and expansive experience, their nonprofit background was limited to several areas of experience with an emphasis on healthcare.

Future work should include further case studies that will provide increased evidence that an SRM is a viable strategic planning methodology for SMNOs. On a final note, SRM requires modification in each organization to address dynamic circumstances within the organization. The flexibility of the SRM allows each organization to adapt to its needs. There is a need for additional studies to perform SRM and to sustain committees to do such. This study was the first attempt to address this need.

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APPENDIX 1: Research and Ethical Compliance

This research meets the ethical, federal and legal standards established for human subjects and governed by the University of Bridgeport Institutional Review Board (UB IRB).

The following exemption determination is an official confirmation that UB determined that this research with its questionnaire applied to specific participants does meet these ethical, federal and legal standards.



EXEMPTION DETERMINATION

April 4, 2019

Mr. Dan Tenney

College of Engineering, Business and Education
University of Bridgeport

Dear Mr. Tenney,

On April 4, 2019 a designated IRB representative determined that your proposed study meets the criteria for exemption:

Type of Review: Exemption Determination

Project Title: Development of a Strategic Roadmap Framework for Small-Medium Nonprofit Organizations (SMNOs)

Investigator: Dan Tenney

Exemption: 45 CFR 46.104(d)(2)

Exemption Description:

Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior (including visual or auditory recording) if at least one of the following criteria is met: (i) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects; (ii) Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation; or (iii) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by §46.111(a)(7).

Sincerely,

 Julie F. Demers
 IRB Administrator

APPENDIX 2: Literature Review Gap Table

TABLE I. STEEP/SRM GAP TABLE

Title	Highlight	Authors	Year	Gaps
<i>Strategic Road-mapping (SRM) Review</i>				
A Comprehensive Assessment of Solar Photovoltaic Technologies: Literature review. 2011 Proceedings of PICMET '11: Technology Management in the Energy Smart World (PICMET).	Road-mapping fundamentals sites currently recognized experts	Sheikh, N. and D. F. Kocaoglu	2011	A potential methodology to alleviate the gaps in existing technology assessments
Strategy in Nonprofit Organisations: A Systematic Literature Review and Agenda for Future Research	Significant strategic planning nonprofit literature review	Laurett, R. and J. J. Ferreira	2018	Current nonprofit strategy thinking but no road-mapping guidance
The Future of Public and Nonprofit Strategic Planning in the United States	Strategic planning in nonprofits	Bryson, J. M.	2010	No road-mapping input or reference.
Motorola's Technology Roadmap Process	Early tech road-mapping at Motorola	Willyard, C. H. and C. W. McClees	1987	Early pioneer in technology road-mapping but not nonprofit related
Evolution of Road-mapping at Motorola		Richey, J. M. and M. Grinnell	2004	Describes the creation of road-mapping processes at Motorola but does not relate to nonprofit organizations.
International roadmap for Consumer Packaging	Fundamental road-mapping criteria from a founding expert on road-mapping	Beeton, D. A.	2006	The importance of the exploratory 'front-end' of strategy is well established in fields such as foresight and knowledge management. However, it has received little consideration by road-mapping practitioners and researchers. This thesis

				addresses this gap in understanding.
Factors for the Design of CMMI-Based Software Process Improvement Initiatives	Describes CMMI process for software	Dounos, P. and G. Bohoris	2010	Not Nonprofit related nor does not reflect strategic road-mapping
Lean CMMI: An Iterative and Incremental Approach to CMMI-Based Process Improvement	Describes CMMI process for software	Abdel-Hamid, A. N. and A. E. d. Hamouda	2015	↓
Configuring Balanced Scorecards for Measuring Health System Performance: Evidence from 5 Years' Evaluation in Afghanistan	In 2004, Afghanistan pioneered a balanced scorecard (BSC) performance system to manage the delivery of primary health care services. This study examines the trends of 29 kpi's.	Edward, A., B. Kumar, et al.	2011	
Strategic Planning in Nonprofit Organizations: Continuous Quality Performance Improvement-A Case Study	Nonprofit strategic planning	Giffords, E. D. and R. P. Dina	2004	
Benchmarking of TQM Practices in INGOs: a Literature Review	TQM benchmarking INGO	Sweis, R. J., F. I. Mahmoud Saleh, et al.	2016	INGO TQM continuous improvement benchmarking, not SRM
Mapping the Knowledge Evolution and Professional Network in the Field of Technology Road-mapping: a Bibliometric Analysis	Thorough bibliometric review of road-mapping	Gersri,N	2013	5 years old, limited by SCOPUS search
Technology Choice and Pooled Investment among Networks: Supply Chain Roadmaps	Road-mapping gives new product developers in communities of creation a crystal ball to look into future products by keeping them abreast of near, mid and long-term technology plans of those involved in the community.	Petrick, I. J.	2002	Hasn't been applied to nonprofits, technology road-mapping not strategic road-mapping per se
Strategic Management of NGOs in Developing Countries	NGOs are becoming more complicated with a greater need for strategic management	Murtaza, N. and M. J. Austin	2011	Not correlated to road-mapping
Are We at the Cutting Edge or the Blunt Edge?: Improving NGO Organizational Performance with Private and Public Sector Strategic Management Frameworks	Improving NGOs with strategic management framework structure	Marc, L.	2001	Not correlated to road-mapping but does involve continuous improvement
Expanded Visions for Today's Growing Governance Challenges	Strategic public management best practices for nonprofits and government agencies	Mihm, J. C.	2011	Continuous improvement strategy but not specifically road-mapping
Visual Strategy: Strategy Mapping for Public and Nonprofit Organizations	Strategy mapping for public and nonprofit organizations	Susan Tomlinson, S.	2017	Not specifically road-mapping but captures strategic management intent.
Strategic Planning on a Budget	Cost effective strategic planning and efficiency of tool usage is important to nonprofit viability.	Smegut, P.	2005	↓
Non-Governmental and Not-for-Profit Organizational Effectiveness: A Modern Synthesis	Extensive NGO/NPO literature review concluding SRM and strategic management are elusive	Lecy, J. D., H. P. Schmitz, et al.	2012	
Strategic Management of NGOs in Developing Countries	Strategic Management of NGOs in Developing	Murtaza, N. and M. J. Austin	2011	

	Countries: an extensive literature review			strategic management intent.
FUNDES: Becoming a Strategically Mindful Nonprofit	Strategic focus case study for SME nonprofit in Latin America	Bucher, S., U. P. Jäger, et al.	2016	
Results from a Strategic Planning process: Benefits for a Nonprofit Organization	Strategic planning process applied to a nonprofit educational organization	McHatton, P. A., W. Bradshaw, et al.	2011	Not specifically road-mapping but captures strategic management intent.
A Model for Sustainable Business Excellence: Implementation and the Roadmap	Develops a business excellence (BE) roadmap model	Seyed Amir, B. and M. Reiche	2013	Published in a TQM journal, this model is not specific to nonprofits but highlights an example of why road-mapping can effectively direct sustainable excellence.
Business Excellence Model: An Overarching Framework for Managing and Aligning Multiple Organisational Improvement Initiatives	Develops a business excellence (BE) roadmap model	Mohammad, M., R. Mann, et al	2011	Published in a TQM journal, this model is not specific to nonprofits but highlights an example of why road-mapping can effectively direct sustainable excellence.
Scale Development Research in Nonprofit Management & Marketing: a Content Analysis and Recommendation for Best Practices	Discusses the lack of marketing scale development and constructs for nonprofits, and the need to develop such	Wymer, W. and H. M. B. Alves	2013	Captures strategic need to develop better nonprofit management and marketing research but not specifically road-mapping
Initiation of Strategic Planning by Governments	Seminal nonprofit strategic planning research	Bryson, J. M. and W. D. Roering	1988	Important nonprofit strategic planning work but not specifically road-mapping
The Future of Public and Nonprofit Strategic Planning in the United States		Bryson, J. M.	2010	
A Beginner's Guide to Strategic Planning		Barry, B. W.	1998	
Visual Strategy : Strategy Mapping for Public and Nonprofit Organizations		Bryson, J. M., C. Eden, et al	2014	
The State of Public Strategic Management Research: A Selective Literature Review and Set of Future Directions		Bryson, J. M., F. S. Berry, et al.	2010	
Implementation Through Risk Mitigation: Strategic Processes in the Nonprofit Organization.	This article explores theory, concepts, and mechanisms concerning the implementation of strategic plans in the nonprofit organization (NPO).	Sharp, Z. and D. M. Brock	2012	
A Strategic Planning Process for a Small Nonprofit Organization: A Hospice Example	A small nonprofit organization applies a computer program strategic planning tool to assist with the planning process.	Massie, M. C.	2000	SMEs struggle to apply strategic planning so this planning model, which is not road-mapping, assists with the planning effort.
A Scenario Based Roadmapping Method for Strategic Planning and Forecasting: A Case Study in a Testing, Inspection and Certification Company	A scenario-based road-mapping strategy is applied for strategic planning	Cheng, M. N., J. W. K. Wong, et al.	2016	Scenario-based road-mapping is not Strategic Road Mapping or Technology Road-mapping.
An Overview of the Literature on Technology Roadmapping (TRM): Contributions and Trends	A systematic review of the literature relating to technology road-mapping that was published between 1997 and 2011.	Carvalho, M. M., A. Fleury, et al	2013	Technology road-mapping is not strategic road-mapping as it applies more to products and processes.
Characterisation of Technology Roadmaps: Purpose and Format	Technology road-mapping combined with a review of	Phaal, R., C. J. P. Farrukh, et al.	2001	

	technology road-mapping technology			
Customizing Roadmapping	Technology road-mapping combined with a review of published articles	Phaal, R., C. J. P. Farrukh, et al.	2004	Technology road-mapping is not strategic roadmap as it applies more to products and processes
Evolution of Roadmapping at Motorola	Technology and strategic roadmap applied at Motorola	Richey, J. M. and M. Grinnell	2004	Technology road-mapping is not strategic roadmap as it applies more to products and processes
Roadmapping Integrates Business and Technology	Describes product technology road-mapping developed at Philips Electronics	Groenveld, P.	2007	Technology road-mapping is not strategic road-mapping as it applies more to products and processes
Roadmapping In the Corporation	Presents information on the process of product-technology road-mapping or planning in the corporation.	Albright, R. E. and T. A. Kappel	2003	Technology road-mapping is not strategic road-mapping as it applies more to products and processes
Strategic and Technology Planning on a Roadmapping Foundation	Describes technology road-mapping, strategic planning, and their correlation	Whalen, P. J.	2007	↓
An Analysis of Factors Improving Technology Roadmap Credibility: A Communications Theory Assessment of Roadmapping Processes	Describes TRM as a communication tool and the need to foster better communication	Lee, J. H., et al.	2012	
Technology Roadmapping (TRM): a Systematic Review of the Literature Focusing on Models	This work aims to carry out a systematic review of the literature, by mixing between TRM and strategy and to present a set of models associated to the theme.	de Alcantara, D. P. and M. L. Martens	2018	
Implementing Technology Roadmapping in an Organization	Dynamics and adaptation of TRM with a case study example	Gerdtsri, N.	2013	↓
Technology Choice and Pooled Investment among Networks: Supply Chain Roadmaps	Ties in strategy and road-mapping	Petrick, I. J.	2002	
A Roadmapping Methodology for Strategic Research on VO. Collaborative Networked Organizations: A research agenda for emerging business models	Road-mapping applied to organizations with reference to a systematic approach.	Camarinha-Matos, L. M. and H. Afsarmanesh	2004	
Technology Roadmapping: The Integration of Strategic and Technology Planning for Competitiveness	Technology roadmap framework, process and applications	O.H.Bray, M.L.Garcia	1997	↓
STEEP Review				
Corporate Social Responsibility in the Supply Chain: An Application in the Food Industry	The framework details unique CSR applications in the food supply chain. General supply chain CSR issues such as community and procurement are also considered.	Maloni, M. J. and M. E. Brown	2006	Social, Economic, Technological, Environmental and Political (STEEP) covered at conceptual or core level.
Comparing Change Readiness, Quality Improvement, and Cost Management among Veterans...	VA cost and quality improvement, a benefit for veterans and society	West, T. D.	1998	Social, Economic, Technological, Environmental and Political (STEEP) covered at conceptual or core level.
Improving the Credibility and Effectiveness of Non-governmental Organizations	The article identifies a number of factors that would help improve NGOs'	Amagoh, F.	2015	Social, Economic, Technological, Environmental and Political

	credibility, effectiveness, and performance			(STEEP) covered at the conceptual or core level
Too Many Nonprofits? An Empirical Approach to Estimating Trends in Nonprofit Demand Density	A societal issue relating to the number or density of nonprofits is rising	Harrison, T. and J. Thornton	2014	Society primarily, but Economic, Environmental and Political to a degree
The "Independent" Sector: Fee-for-Service Charity and the Limits of Autonomy	Charities are nonprofits that create a unique societal niche.	Mayer, L. H.	2012	
Does Nonprofit Marketization Facilitate or Inhibit the Development of Civil Society? A Comparative Study of China and the USA	Comparing China to USA nonprofits and how they may negatively affect society in their quest for success.	Yu, J. and K. Chen	2018	
From Receiving to Achieving	Corporate partnership influence on social and organizational need	Lefroy, K., and Y. Tsarenko	2013	
Strategic Choices and Change in Nonprofit Organizations	Factors that contribute to nonprofit success	Kunle, A.	2006	More weight on economic but other areas contribute.
Four Criteria of Development NGO Legitimacy		Atack, I.	1999	Society primarily, but Economic, Environmental and Political to a degree.
Exploring the Impact of the Board of Directors on the Performance of Not-for-profit Organizations	Board impact on nonprofit performance and subsequent goal attainment	Dominic, M. and L. Alfred	2009	
How Visionary Nonprofits Leaders are Learning to Enhance Management Capabilities	Nonprofits need managerial support and resources	Daniel, S. and B. Jeffrey	2009	Society primarily, but Economic, Environmental and Political to a degree
Mapping the Novel Arrangements Adopted to Build the Corporate Responsibility Institutional Setting: A Contested Dynamic Interplay	Describes NGO social responsibility involvement	Albareda, L.	2010	Primarily societal but takes into consideration Political
Corporations and NGOs: When Accountability Leads to Co-optation	Nonprofit and for profit corporations should strengthen their union and not compete.	Baur, D. and H. P. Schmitz	2012	Societal, Political and Economical
Methodological Issues in Studying the Effectiveness of Nongovernmental and Nonprofit Organizations	Nonprofit effectiveness study.	Herman, R. D.	1990	All STEEP perspectives
The Adoption of the Corporate Governance Model by Nonprofit Organizations." Nonprofit Management and Leadership	Corporate nonprofit governance is more value dependent than for profit organizations.	A., A. J. and W. B. J.	1998	
Strategy and Structure in High-Performing Nonprofits: Insights from Iberoamerican Cases	Research on nonprofit structure and strategy of 20 research cases with emerging success patterns	Ogliastri, E., U. P. Jäger, et al.	2016	
Existential Angst and Identity Rethink: The Complexities of Competition for the Nonprofit	Case study summary of nonprofit strategic planning process outcomes	Sharp, Z.	2018	All STEEP perspectives
Evolution Or Extinction: A Strategy for Nonprofits in the Marketplace	The Evolution of nonprofits and their struggle for survival and credibility.	Skloot, E.	2000	All STEEP perspectives
The Pitfalls of Profits	Nonprofits undertake socially beneficial activities while for-profits restrict their do-gooding that rarely risks bottom line.	Weisbrod, B. A.	2004	Mostly Social and Economic
Holding Our Own: Value and Performance in Nonprofit Organisations	Explores the role of values in relation to nonprofit organizations' performance	Cheverton, J.	2007	

APPENDIX 3: Taxonomy of Strategic Road-mapping Criteria, Functions, and Tasks for Small Medium Nonprofit Organizations

POLICY(CRITERIA)	DESCRIPTION OF CRITERIA, FUNCTION, AND TASKS
SOCIAL PERSPECTIVE	
S1: Health	<p>Health means physical well-being including proper diet and nutrition, medical and preventative care, physical exercise, and a good mental state of well-being. SMNOs may provide certain physical or mental support to the community they serve. Health is considered to be fundamental to the success of a community. SMNOs working to provide health services enables them to establish sustainable credibility in their target communities. SMNOs target specific health areas, and only specific populations are being studied. Health is evaluated on a scale from a normally healthy person to severely ill with various degrees of illness symptoms in between.</p> <p><u>Functions</u></p> <p><i>S1:F1: Physical wellbeing</i></p> <p>A state of physical well-being is not just the absence of disease but includes lifestyle behavior choices to ensure health, avoid preventable diseases and conditions, and to live in a balanced state of body, mind, and spirit. Some SMNOs provide internal and outreach care that assists with maintaining a physical state of well-being. The tasks that may be included in a case study are specific and would be implemented by individuals. This is a minimum requirement of health and there are other aspects of health. Physical well-being may range from a scale of full physical functionality to immobility with various levels in between.</p> <p><i>S1:F2: Preventative care</i></p> <p>Preventative care is provided to avoid future illnesses or diseases. It should also include counseling. Many SMNO provide preventative care at little to no cost to their patients. The tasks that may be included in a case study are specific and would be implemented by individuals. This is considered to be a basic requirement of health and there are other aspects of health. Preventative care may range from a scale of full medical prevention to critically poor prevention with various levels in between.</p>

	<p><i>S1:F3: Mental health support</i></p> <p>Mental Health Support is defined as in terms of counseling, treatment based on assessments and diagnosis for mental or emotional disorders. The tasks that may be included in a case study are specific and would be implemented by individuals. This is considered to be a variable requirement of health and there are other aspects of health. Mental health support may range from a scale of superb emotional, psychological and social well-being to the absence of any of these mental health factors.</p>
S2: Cultural Acceptance	<p>Cultural acceptance is a community activity linkage relevant to the mission. Cultural acceptance may involve aspects such as diversity, inclusion, tolerance, and differences. These aspects combine to form the criteria leading to cultural acceptance in SMNOs. Cultural acceptance is considered fundamental to the success of a community. SMNOs need to provide an environment of cultural acceptance to attract clients from the community they serve. Only specific populations are included in this study. The scale of cultural acceptance ranges from full diversity and inclusion to total lack of racial, ethnic or cultural integration.</p> <p><u>Functions</u></p> <p><i>S2:F1: Cultural diversity</i></p> <p>It is the quality of diverse or different cultures, as opposed to monoculture, the global monoculture, or a homogenization of cultures, akin to cultural decay. The phrase cultural diversity can also refer to having different cultures respect each other's differences.</p> <p>The tasks that may be included in a case study are specific and would be implemented by individuals. This is a fundamental requirement of cultural diversity and may range from a scale of extensive cultural diversity to a monoculture without inclusive behavior.</p> <p><i>S2:F2: Cultural inclusion</i></p> <p>Promotes laws and policies that ensure cultural participation, access, and the right to express and interpret culture. From an urban policy perspective, cultural inclusion calls to mixing the</p>

	<p>best problem-solving, creative, innovative and entrepreneurial practices. The tasks that may be specific and would be implemented by individuals. This is considered to be a fundamental requirement of cultural acceptance and may range from a scale of extensive cultural inclusion to a monoculture without inclusive behavior.</p> <p><i>S2:F3: Cultural tolerance</i></p> <p>It is understood to be one's ability to withstand, respect and tolerate a particular culture, belief, and practices. Tasks may be specific and individual. This is a fundamental requirement of cultural acceptance and may range from a scale of extensive cultural tolerance to extreme intolerance. Tasks may be specific and individual.</p> <p><i>S2:F4: Cultural difference</i></p> <p>Ways to understand cultural differences may include ways to become self-aware, work out your own beliefs, values, and personal biases, do your research, talk to someone from a different cultural background, travel, don't stereotype, and recognize that everyone is unique. Tasks may be unique to members of a specific ethnicity, race or national origin. This is a fundamental requirement of cultural acceptance and may range from a scale of extensive cultural differences to little or no cultural differences.</p>
S3: Employment	<p>Employment is the condition of having paid work also referred to as a person's trade or profession. Adequate staffing is a requirement for a functional SMNO to meet its mission. SMNO employment is specific to its needs to serve its community, and they must target specific services to be sustainable. In this case, only specific populations are studied. The scale of employment ranges from fully staffed with required competencies to understaffed with inferior skillsets to the market need and various levels in between. Full SMNO employment is a challenge given the nature of their diverse programs and fluctuating needs.</p> <p><u>Functions</u></p> <p><i>S3F1: Paid work</i></p> <p>It is compensation that is received based on performing tasks generally recognized as one's job. Adequate staffing is a</p>

	<p>requirement for a functional SMNO to meet its mission. SMNO employment is specific to its needs to serve its community, and they must target specific services to be sustainable. In this case, only specific populations are studied. Paid work is separated from nonpaid volunteers in SMNOs. Full SMNO employment is a challenge given the nature of their diverse programs and fluctuating needs, so it is not unusual for SMNOs to balance their workload with paid and unpaid employees. The scale of employment ranges from fully staffed with required competencies to understaffed with inferior skillsets to the market need and various levels in between.</p>
S4: Infrastructure and Operational Effectiveness	<p>Infrastructure relates to physical support mechanisms that create a foundation for the organization. Operational effectiveness deals with establishing and extending the best operating practices. It concerns the validation and execution of processes once they've been prescribed. Infrastructure and operational effectiveness are core process necessities that assist with creating a stronger SMNO base of operation. SMNO targets specific areas of effectiveness relative to their needs. Only specific SMNO populations were targeted. The scale of infrastructure and operational effectiveness ranges from a strong and continual base to a weak and deficient infrastructure base without necessary operational efficiency.</p> <p><u>Functions</u></p> <p><i>S4:F1: Physical support mechanisms</i></p> <p>May include hard support such as the organization's building structure or emotional and relationship support that fosters well being within the organization. Either or all of this support is required to maintain and improve the social ties within the organization or in extension to its external clients. SMNO targets specific areas of effectiveness relative to their needs. Only specific SMNO populations were targeted. The scale of infrastructure and operational effectiveness ranges from a strong and continual base to a weak and deficient infrastructure base without necessary operational efficiency.</p> <p><i>S4:F2: Operational effectiveness</i></p> <p>Includes but is not limited to efficiency. It refers to any number of practices that allow a company to better utilize its inputs by, for example, improving productivity, reducing errors or developing</p>

	<p>more streamlined processes. Efficiency is a core process that assists with creating a stronger SMNO base of operation. SMNO targets specific areas of effectiveness relative to their needs. Only specific SMNO populations were targeted. The scale of infrastructure and operational effectiveness ranges from a strong and continual base to a weak and deficient infrastructure base without necessary operational efficiency.</p> <p><u>Tasks</u></p> <p>S4:F1: T1: <i>Explore new business models</i></p> <p>It is a necessity to maintain a viable organization that is capable of attaining its mission. Sometimes the social, regulatory or political environment creates a need to transform or deviate from a current model to remain viable. Adaptability to new requirements is important for remaining viable under changing environments regulations, and other constraints. Tasks are specific to the targeted case study +and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities. A rating scale may range from exploring 1-3 new models vs no new models.</p> <p>S4: F2:T2: <i>HR assessment</i></p> <p>It becomes a periodic activity to support the changing needs of the organization and to assure proper competencies necessary to meet the mission's requirements. Shifting priorities due to social, regulatory or political environments may require different skillsets leading to an HR assessment. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities. A rating scale may range from best HR practices vs dangerously high turnover and open positions.</p> <p>S4:F2: T3: <i>Management leadership development</i></p> <p>It includes basic skills such as problem-solving, delegation, communications and management competencies. SMNOs need leadership support to meet social needs and attain its mission. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its</p>
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	<p>capabilities. A rating scale may range from superior leadership at the top vs open or lack of leadership.</p> <p>S4:F2: T4: <i>Meeting organizational requirements</i></p> <p>It is necessary to remain competitive and attain the mission. These requirements may be related to longer-term vision or mission goals or be more specific to business or performance goals. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities. A rating scale from high to low performance and in between relative to key performance indicators.</p>
TECHNICAL PERSPECTIVE	
T1: Data-driven and Measured Outcomes	<p>Data collection and analysis for decision making including routine technical report generation. Utilize personalized artificial intelligence/big data for personal health and other maintenance to determine measurements that drive the SMNO for improvement and mission attainment. Tasks are specific and can be implemented by individuals for the organization being considered. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to collect and measure their outcomes. A rating scale from high to low performance and in between relative to key performance indicators.</p> <p><u>Functions:</u></p> <p>T1:F1: <i>Data collection and analysis</i></p> <p>The process of gathering information and evaluating that data is critical to SMNO process performance and decision outcomes. Tasks are specific and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to collect and measure their outcomes. A rating scale from high to low performance and in between relative to key performance indicators.</p> <p>T1:F2: <i>Artificial intelligence (AI)</i></p> <p>(AI)/big data is the use of large amounts of collected data information to develop and help interpret and find trends and patterns that otherwise may not have been detected. Big data</p>

	<p>makes it possible for AI to reach its full potential. Tasks are specific and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to collect and interpret its data. A rating scale from high to low performance and in between relative to key performance indicators.</p>
<p>T2: Continuous Improvement and Delivery</p>	<p>Routine and breakthrough improvement that is used to constantly improve the organization. Focus on areas that are necessary to maintain, sustain and grow to support the mission. Tasks are specific and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to consistently improve. A rating scale from high to low performance and in between relative to key performance indicators.</p> <p><u>Functions</u></p> <p>T2:F1: <i>Routine improvement</i></p> <p>Incremental improvement refers to improvement to smaller improvement in scope and is more easily attained without extraordinary measures and resources. Tasks are specific and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to consistently improve. A rating scale from high to low performance and in between relative to key performance indicators.</p> <p>T2:F2: <i>Breakthrough improvement</i></p> <p>It requires more effort, greater resources, and significant measures to accomplish. Routine and breakthrough improvement is necessary to sustain a viable SMNO future. Tasks are specific and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to consistently improve. A rating scale from high to low performance and in between relative to key performance indicators.</p>
<p>T3: Social Media Input</p>	<p>Websites and applications that enable users to create and share content or to participate in social networking. Social media input can be used to develop a business intelligence information platform to enable data analytic development. Tasks are specific and can be implemented by individuals for the organization being</p>

	<p>considered. Tasks are limited to the organization and their capabilities and their ability to socially interact and reach their clientele. A rating scale that measures social followers can be used to measure social media inputs.</p> <p><u>Functions</u></p> <p>T3:F1: <i>Social networking</i></p> <p>The use of dedicated websites and applications to interact with other users, or to find people with similar interests to oneself. Social networking allows like-minded people to be in touch with each other. Social networking can be used to expand an organization's message and for SMNO to communicate its mission statement. Tasks are specific and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and their ability to socially interact and reach their clientele. A rating scale that measures social followers can be used to measure social media inputs.</p> <p>T3:F2: <i>Business Intelligence</i></p> <p>Are extremely large data sets that may be analyzed computationally to reveal patterns, trends, and associations, especially relating to human behavior and interaction. Tasks are specific and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to collect and interpret its data. A rating scale from high to low performance and in between relative to key performance indicators.</p>
T4: Infrastructure and Operational Effectiveness	<p>Infrastructure relates to physical support mechanisms that create a foundation for the organization. Operational effectiveness deals with establishing and extending the best operating practices. It concerns the validation and execution of processes once they've been prescribed.</p> <p>Infrastructure relates to physical support mechanisms that create a foundation for the organization. Operational effectiveness deals with establishing and extending the best operating practices. It concerns the validation and execution of processes once they've been prescribed.</p>

	<p>Infrastructure and operational effectiveness are core process necessities that assist with creating a stronger SMNO base of operation. SMNO targets specific areas of effectiveness relative to their needs. Only specific SMNO populations were targeted. The scale of infrastructure and operational effectiveness ranges from a strong and continual base to a weak and deficient infrastructure base without necessary operational efficiency.</p> <p><u>Functions</u></p> <p><i>T4:F1: Physical support mechanisms</i></p> <p>May include hard support such as the organization’s building structure or emotional and relationship support that fosters well-being within the organization. Either or all of this support is required to maintain and improve the social ties within the organization or in extension to its external clients. SMNO targets specific areas of effectiveness relative to their needs. Only specific SMNO populations were targeted. The scale of infrastructure and operational effectiveness ranges from a strong and continual base to a weak and deficient infrastructure base without necessary operational efficiency.</p> <p><i>T4:F2: Operational effectiveness</i></p> <p>Includes but is not limited to efficiency. It refers to any number of practices that allow a company to better utilize its inputs by, for example, improving productivity, reducing errors or developing more streamlined processes. SMNO targets specific areas of effectiveness relative to their needs. Only specific SMNO populations were targeted. The scale of infrastructure and operational effectiveness ranges from a strong and continual base to a weak and deficient infrastructure base without necessary operational efficiency.</p> <p><u>Tasks</u></p> <p><i>T4:F2: T1: Data and outcome measurements</i></p> <p>Information that is collected over time and analyzed for a specific purpose. Outcome measurements can be used for performance evaluation and/or decision making. SMNOs can benefit from data and outcome measurements to better their internal performance or their clients’ needs. This information can assist</p>
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	<p>in supporting performance related to SMNO mission. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to collect and measure their outcomes. A rating scale from high to low performance and in between relative to key performance indicators.</p> <p>T4: F2:T2: <i>Technology assessment</i></p> <p>Technology assessment has been defined as a form of policy research that examines short- and long-term consequences (for example, societal, economic, ethical, legal) of the application of technology. The goal of technology assessment was said to be to provide policymakers with information on policy alternatives. SMNOs improve operational effectiveness and their subsequent infrastructure when they remain current with technological support mechanisms. SMNOs target specific technology assessment areas. Only specific populations are studied. The scale of technology assessment ranges from a full assessment to no assessment conducted.</p>
ECONOMIC PERSPECTIVE	
E1: Meet Financial Goals	<p>A financial goal or financial target is based upon money. Examples include debt reduction, attaining sufficient revenue including donations to maintain the business, government support and private grants including capital planning. The monetary objectives of a SMNO are often determined by their future requirements for funds. For a business, its financial goals can be expressed as part of an overall financial plan that might include financial targets, projected borrowing requirements, covering operating expenses, and developing a debt payback schedule. Meeting financial goals in an SMNO is a fundamental requirement for sustaining its business and mission. SMNOs target specific financial goals. Only specific SMNO populations are targeted. The scale of financial goals ranges from exceeding to not meeting the financial target.</p> <p><u>Functions</u></p> <p>E1:F1: <i>Financial target</i></p>

	<p>A financial target is a goal to reach a specified monetary objective. The objective can be related to the necessary goals to sustain the SMNO. Meeting financial goals in an SMNO is a fundamental requirement to sustaining its business and mission. SMNOs target specific financial goals. Only specific SMNO populations are targeted. The scale of financial targets ranges from exceeding to not meeting targets.</p> <p><i>E1:F2: Debt reduction</i></p> <p>Often referred to as debt relief, is the process of reducing your debt balance through a systematic approach to repaying your debt or the use of a financial maneuver to improve your debtor position. Debt reduction is part of good financial management and is fundamental to SMNO financial health. The scale of debt reduction ranges from a high reduction to rapid debt accumulation.</p> <p><i>E1:F3: Sufficient revenue</i></p> <p>This area evaluates the number of funds available through earned or donated channels that are adequate to cover necessary expenses. These expenses are such that support the viability to maintain an SMNO. Sufficient revenues to sustain a SMNO is a fundamental requirement. Sufficient revenue is relevant to targeted SMNOs and applies to specific populations. The scale ranges from operating with a positive sustainable revenue stream to generating a negative revenue stream which may jeopardize the SMNO viability.</p>
E2: Financial Sustainability	<p>There is no agreed definition of what financial sustainability is, but it is about being able to be there for your beneficiaries in the long term. It is the opposite of having to cease your activities simply because you have run out of money. The task is to maintain a suitable financial business plan to assure business success. Business sustainability is often defined as managing the triple bottom line - a process by which companies manage their financial, social and environmental risks, obligations and opportunities. The task is to maintain all three areas. Assures viability to meet the mission for the future including any economic mission attainment plan. The tasks are unique to those and specific to SMNO populations. Financial sustainability scales range from exceeding all critical financial measures to critically below the necessary sustainability targets.</p> <p><u>Functions</u></p>

	<p>E2:F1: <i>Business success</i></p> <p>Business success means the achievement of an action within a specified time period or a specified parameter. Also, it may mean completing an objective or reaching a goal. The tasks are unique to those and specific to SMNO populations. A business success scale ranges from exceeding all mission-based targets to being in jeopardy of not meeting critical business targets.</p> <p>E2:F2: <i>Financial obligations, risks, and opportunities</i></p> <p>A financial obligation may be to pay money to another party. An obligation may be a state to be obligated to do or pay something. Risks are assessed as areas that need to be understood and addressed so as not to impede. Opportunities are those positive areas of financial gain potential.</p>
<p>E3: Financial Forecasting and Planning</p>	<p>A financial forecast is an estimate of future financial outcomes for a company. Financial forecasts estimate future income and expenses for a business over a time period and generally include a budgeting process. Financial forecasting is critical for business success. A financial plan is a process a company lays out, typically broken down into a step-by-step format, for utilizing its available capital and other assets to meet its goals for growth or profit based on a reasonable financial forecast. Forecasting is a technique that uses historical data as inputs to make informed estimates that are predictive in determining the direction of future trends. Businesses such as SMNOs utilize forecasting and planning to determine how to allocate their budgets or plan for anticipated expenses for an upcoming time period. This is typically based on the projected demand for the goods and services offered. Business forecasting and planning is a fundamental requirement for SMNO sustainability. Tasks are specific and unique to targeted populations. The scales of financial planning ranges from a strong continuing and executable planning process to critically lacking in core areas of financial planning and forecasting.</p> <p><u>Functions</u></p> <p>E3:F1: <i>Budgeting</i></p> <p>A financial budget in budgeting means predicting the income and expenses of the business on a long-term and short-term basis.</p>

	<p>SMNOs should budget to forecast their expense needs and meet their obligations. Business forecasting and planning is a fundamental requirement for SMNO sustainability in which budgeting is a key aspect of financial forecasting and planning. Tasks are specific and unique to targeted populations. The scale of financial budgeting ranges from a strong continuing and attainable budget process to critically miscalculating the budget process.</p> <p><i>E3:F2: Financial outcomes</i></p> <p>The result of financial measurements that may affect bottom-line results. Financial outcomes should be measured. SMNOs should measure their outcomes to assure they remain financially viable. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities and its ability to collect and measure their outcomes. A rating scale from high to low performance and in between relative to key performance indicators.</p>
E4: Balance Programs, Resources, and Financial Planning	<p>Careful consideration and execution of using available human, financial and subsequent programs to meet the organization's needs, goals and mission. Human resources are human capital which as necessary to sustain a SMNO and meets its mission. SMNOs should balance their programs, resources, and planning to accomplish their mission. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. The scale of balancing programs, resources, and financial planning ranges from a strong continuing and executable planning and highly functional operational process to critically lacking in core areas of financial planning, programs, and resources.</p> <p><u>Functions</u></p> <p><i>E4:F1: Financial programs</i></p> <p>Application of financial activities that create a basis for fiscal understanding as part of a set of related measures with a particular target. Financial programs are necessary for SMNOs to meet their fiduciary needs. SMNOs should balance their program to accomplish its mission. Tasks are specific to the targeted case study and can be implemented by individuals for the organization</p>

	<p>being considered. The scale of balancing programs ranges from a strong continuing and executable program process to critically lacking in core areas of programs that are necessary to maintain their community mission.</p> <p><i>E4:F2: Balancing human capital</i></p> <p>The skills, knowledge, and experience possessed by an individual or population, viewed in terms of their value or cost to an organization and how they are proportioned. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. The scale of balancing human capital ranges from a healthy organization staffing structure to a critically deficient organization staffing.</p>
E5: Funding Assessment	<p>The goal of funding assessments is to collect data that can help the nonprofit evaluate whether or not it is making progress towards various goals, through monitoring, including whether the nonprofit can demonstrate that it is making progress advancing its mission. SMNOs typically receive funding from the general public, government, and private foundations. They may perform public service, but primarily raise funds and provide grants to other nonprofits that provide direct service. SMNOs continuously monitor and evaluate their funding assessments to assure they can sustain their necessary financial viability. Tasks are specific and unique to a SMNO. A scale of funding assessment ranges from exceeding necessary sustainable funding to critical below the necessary sustainable funding.</p> <p><u>Functions</u></p> <p><i>E5:F1: Funding progress</i></p> <p>The money provided, especially by an organization or government, for a particular purpose and an evaluation of its status relative to a particular purpose or timeline. SMNOs may track the progress of their funds to assure viability. Tasks are specific to SMNO requirements while unique SMNO populations have been studied. The range of funding progress is from exceeding necessary sustainable funding to critically below the necessary sustainable funding level.</p> <p><i>E5:F2: Funding monitoring</i></p>

	<p>Measurement of monies over a particular timeframe. SMNOs may require fund monitoring to assess their viability. Tasks are specific to SMNO requirements while unique SMNO populations have been studied. Funding monitoring ranges from frequent funding monitoring to having no funding monitoring process in place.</p> <p>Tasks</p> <p>E5:F1:T1: <i>Explore Collaboration:</i></p> <p>It is a necessity to maintain a viable organization that is capable of attaining its mission. Sometimes the social, regulatory or political environment creates a need to transform or deviate from a current model to remain viable. Adaptability to new requirements is important for remaining viable under changing environments, regulations, and other constraints. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities. A rating scale may range from exploring 1-3 new collaborations vs no new collaboration.</p> <p>E5:F1:T2: <i>Identify new opportunities:</i></p> <p>It is a necessity to maintain a viable organization that is capable of attaining its mission. Sometimes the social, regulatory or political environment creates a need to transform or deviate from a current model to remain viable. Adaptability to new requirements is important for remaining viable under changing environments, regulations, and other constraints. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities. A rating scale may range from exploring 1-3 new opportunities vs remaining with the current status quo.</p> <p>E5:F2:T3: <i>Assess current practices:</i></p> <p>It is a necessity to maintain a viable organization that is capable of attaining its mission. Sometimes the social, regulatory or political environment creates a need to transform or deviate from a current model to remain viable. However, if the current</p>
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	practices assure a strong and viable organization, then, there should not be any deviation from these practices. Tasks are specific to the targeted case study and can be implemented by individuals for the organization being considered. Tasks are limited to the organization and its capabilities. A rating scale may range from exploring maintaining current practices vs significant deviation to current practices.
ENVIRONMENTAL PERSPECTIVE	
EN1: Environmental Safety	<p>Environmental safety is the practice of policies and procedures that ensure that a surrounding environment, including work areas, laboratories or facilities, is free of dangers that could cause harm to a person working in those areas. A safe environment to work is the key element of environmental safety. We face countless environmental hazards every day. To better understand them, we can think of them as falling into four categories: physical, chemical, biological, and cultural. Human-made chemical hazards include many of the synthetic chemicals we produce, like disinfectants, pesticides, and plastics. SMNOs must provide an environmentally safe area for their employees and clients. Environmental safety for SMNO employees and their clients is considered fundamental to an organization's operation. A safe environment promotes an atmosphere that is conducive to an organization's attractiveness and helps assure a necessary community-friendly atmosphere. Tasks are specific to SMNO requirements while unique SMNO populations have been studied. The scale of environmental safety ranges from an invitingly safe, and secure setting to conditions that are perceived as unsafe or unsecured.</p> <p><u>Functions</u></p> <p>EN1: F1: <i>Environmental policy</i></p> <p>Environmental policy refers to the commitment of an organization to the laws, regulations, and other policy mechanisms concerning environmental issues. Environmental policy assures that formal structure is developed that will assist in maintaining a safe environment. Tasks are specific to SMNO requirements while unique SMNO populations have been studied. The scale of the environmental policy ranges from developed and functional procedures to undeveloped or inadequate environmental protocols.</p>

	<p>EN1: F2: <i>Safe environment</i></p> <p>A safe environment means that there are no obstacles that would present risks. These may be physical, chemical, biological or others that may create a hazard. Tasks to assure environment safety are specific to SMNO requirements while unique SMNO populations have been studied. The scale of environmental safety ranges from an invitingly safe, and secure setting to conditions that are perceived as unsafe or unsecured.</p> <p>EN1:F3: <i>Dangers</i></p> <p>Danger is the possibility of suffering harm or injury. Dangers are unique aspects that may jeopardize environmental safety. Tasks to identify dangers are specific to SMNO requirements while unique SMNO populations have been studied. The scale of dangers ranges from a safe, and secure setting to conditions that are perceived as unsafe or unsecured.</p>
EN2: Health and Wellness	<p>Health and wellness describe what are acceptable and poor personal health practices. In this regard, personal health is defined as a condition promoting good health practices. Practical control measures used to improve the basic environmental conditions affecting human health, for example, clean water supply, human and animal waste disposal, protection of food from biological contamination, and housing conditions, all of which are concerned with the quality of the human environment. Wellness is generally described as the state of being in good health. SMNOs working to provide health services enables them to establish sustainable credibility in their target communities. SMNOS target specific health areas, and only specific populations are being studied. Health is evaluated on a scale from a normally healthy person to severely ill with various degrees of illness symptoms in between.</p> <p><u>Functions</u></p> <p>En2:F1: <i>Health practices</i></p> <p>The art of promoting behaviors that lead to health outcomes, both positive and negative. Good health practices are fundamental to maintain an appropriate environment for employees and clients. SMNOs work to maintain an acceptable environment that provides good health practices. SMNOS targets specific health</p>

	<p>areas, and only specific populations are being studied. Health practices are evaluated on a scale from a highly secure and clean environment to a filthy and ill-kept environment.</p> <p><i>En2:F2: Control measures</i></p> <p>Control measures are actions and/or activities that are taken to prevent, eliminate or reduce the occurrence of a hazard that you have identified. Control measures are necessary to maintain proper health practices to assure adequate health and wellness. SMNOS target specific health control measures and only specific populations are being studied. Control measures are evaluated on a scale from a highly controlled to inadequate control.</p> <p><i>En2:F3: Good health</i></p> <p>Health can be defined as physical, mental, and social wellbeing, and as a resource for living a full life. Factors for good health include genetics, the environment, relationships, and education. Good health practices are fundamental to maintain an appropriate environment for employees and clients. SMNOs work to maintain an acceptable environment that provides good health practices. SMNOS target specific health areas, and only specific populations are being studied. Health practices are evaluated on a scale from a highly secure and clean environment to a filthy and ill-kept environment.</p>
POLITICAL PERSPECTIVE	
P1: Meet Government or Industry Requirements	<p>A requirement is a quality or qualification that you must have to be allowed to do something or to be suitable for something. Its products and services meet all legal requirements. Government or industry requirements being met means that specific policies, protocols, and laws are met. A government or industry requirement is a quality or qualification that you must have to be allowed to do something or to be suitable for something as defined by governmental requirements. Its programs or services must meet all legal requirements and must have requisite compliance programs as an outcome. SMNOs must meet governmental requirements inherent in their government grant requirements. Meeting government or industry requirements is fundamental for SMNOs to remain viable. SMNOs must meet specific requirements for specific populations. The requirement scale ranges from always maintaining full requirement compliance to being noncompliant to multiple requirements.</p> <p><u>Functions</u></p>

	<p><i>P1:F1: Legal requirements</i></p> <p>Legal requirements mean any treaty, convention, statute, law, regulation, ordinance, license, permit, governmental approval, injunction, judgment, order, consent decree or other requirements of any governmental or agency authority, whether federal, state, or local. The legal requirements of a SMNO are often determined by their local, state and federal government. For a business, legal requirements can be expressed as part of an overall compliance plan. Meeting legal requirements in an SMNO is a fundamental requirement for sustaining its business and mission. SMNOs must comply with specific legal requirements. Only specific SMNO populations are targeted. The scale of legal requirements ranges from meeting all requirements to not meeting most legal requirements.</p> <p><i>P1:F2: Qualifications</i></p> <p>Qualifications are skills the employee must have to perform the job duties to meet the government or industry requirement. Requirements might include education level, years of experience or industry knowledge as fundamentals the employee must have to do the job. The qualifications of SMNO employees are determined based on local, state and federal or industry legal requirements and their need to understand and comply with those requirements. Only specific SMNO populations are targeted. The scale of qualifications ranges from meeting all knowledge requirements to not meeting most knowledge requirements.</p> <p><i>P1:F3: Compliance programs</i></p> <p>A compliance program is a set of internal policies and procedures of a company to comply with laws, rules, and regulations or to uphold the business reputation. An SMNO compliance program will focus on upholding policies and procedures that prevent the organization and employees from breaking laws and regulations. Only specific SMNO populations are targeted. The scale of compliance programs ranges from meeting all of the program requirements to not meeting most of the program requirements.</p>
P2: Meet Organizational Policies	Organizational policy is a set of guidelines and best practices put in place to protect the company, employees, and customers. In

	<p>general, organizational policies define what is or is not permitted within the organization. By doing this, they establish expectations and limitations related to behavior that must be met or attained. A set of policies are principles, rules, and guidelines formulated or adopted by an organization to reach its long-term goals and typically published in a booklet or other widely accepted form. SMNOs must form and abide by policies to sustain an equitable organization. Only specific SMNO populations are targeted. The scale of meeting organizational policies ranges from meeting all of the policy requirements to not meeting most of the policy requirements.</p> <p><u>Functions</u></p> <p>P2:F1: <i>Organizational practice</i></p> <p>Organizational Practices are the behaviors and actions of members of the organization. Organizational Practices are located immediately outside of the Core Culture. They are not the elements of Core Culture. Instead, they are the behaviors that convert ideas to actions. To sum up, they keep the culture alive. SMNOs must form and abide by such practices to sustain a viable organization. Only specific SMNO populations are targeted. The scale of meeting organizational practices ranges from meeting all of the practice requirements to not meeting most of the practice requirements.</p> <p>P2:F2: <i>Organizational guidelines</i></p> <p>Organizational guidelines are the rules and requirements that are either mandated by the government or required by a specific industry requirement. Guidelines may become standards, regulations, rules or policy. SMNOs must form and abide by such guidelines to sustain a compliant organization. Only specific SMNO populations are targeted. The scale of meeting organizational guidelines ranges from meeting all of the guideline requirements to not meeting most of the guideline requirements.</p>
P3: Attain Political Backing	<p>Political participation is related to advocacy for political backing in support of its mission. Political scientists also aim to understand what drives individuals to participate in the democratic process, either by voting, volunteering for campaigns, signing petitions or protesting. Participation cannot always be</p>

	<p>explained by rational behavior. Political backing for SMNOs is important to attain acceptance in the community as well as government financial support. Only specific SMNO populations are targeted. The scale of attaining political backing ranges from attaining all of the necessary political backings to not attaining any political backing.</p> <p><u>Functions</u></p> <p><i>P3:F1: Political participation</i></p> <p>Political participation includes a broad range of activities through which people develop and express their opinions on the world and how it is governed and try to take part in and shape the decisions that affect their lives. Political participation is a fundamental activity that SMNOs partake to maintain an awareness and connection to the communities they serve. Only specific SMNO populations are targeted. The scale of political participation ranges from very aware and active to not involved in politics and its endeavors.</p> <p><i>P3:F2: Political advocacy</i></p> <p>An advocacy group is a group or an organization that tries to influence the government or industry in which it operates but does not hold power to do such. An SMNO may participate in specific political advocacy to enhance or abide by its mission and to subsequently serve its clients. Only specific SMNO populations are targeted. The scale of political advocacy ranges from very active to not involved in politics and its endeavors.</p> <p><i>P3:F3: Political acceptance</i></p> <p>Understanding and abiding by political acceptance fundamentally may serve the SMNO well in attaining its mission and supporting its sustainability. Only specific SMNO populations are targeted. The scale of political acceptance ranges from prescribing to political policy and related activity to not involved in politics or acknowledging and participating in a related activity.</p>
P4: Regulatory Risk	<p>Regulatory risk is the risk that a change in laws and regulations, or failure to comply with laws and regulations, will materially impact a business, sector or market. A change in laws or</p>

	<p>regulations made by the government or a regulatory body can increase the costs of operating a business, reduce the attractiveness of an investment, or change the competitive landscape. Regulatory Risk is generally defined as the risk of having the 'license to operate' withdrawn by a regulator or having conditions applied (retrospectively or prospectively) that adversely impact the economic value of an enterprise. The risk of not complying with regulations may lead to a termination of funding that is vital to an SMNO's existence. SMNOs should understand and factor the impact of not accounting for the regulatory risk that affects them. Only specific SMNO populations are targeted. The scale of regulatory ranges from understanding and accounting for regulatory risk to not understanding and abiding by logical regulatory risk protection.</p> <p><u>Functions</u></p> <p>P4:F1: <i>Change control</i></p> <p>Change control is a systematic approach to managing all changes made to a product or system. The purpose is to ensure that no unnecessary changes are made, that all changes are documented, that services are not unnecessarily disrupted and that resources are used efficiently. Change control is a formal approach that SMNOs can benefit from given their limited resources and exposure to risk. SMNO populations are targeted. The scale of change control ranges from a compliance and formal change control system to no formal change control system.</p> <p>P4:F2: <i>Compliance</i></p> <p>Compliance means a set of internal policies and procedures of a company to comply with laws, rules, and regulations or to uphold the business reputation. An SMNO compliance program will focus on upholding policies and procedures that prevent the organization and employees from breaking laws and regulations. Only specific SMNO populations are targeted. The scale of compliance programs ranges from meeting all of the program requirements to not meeting most or any of the program requirements.</p> <p>P4:F3: <i>Operational licensing</i></p>
P5: Governance	<p>It relates to "the processes of interaction and decision-making among the people involved in a collective problem that lead to the</p>

	<p>creation, reinforcement, or reproduction of social norms and institutions". ... Governance is the way rules, norms and actions are structured, sustained, regulated and held accountable and the action or manner of control or sway that will be required to meet those rules, norms actions. Maintaining a strong and compliant SMNO governance is fundamental to operational maintenance. Only specific SMNO populations are targeted. The scale of SMNO governance ranges from a strong and compliant governance function to a weak and noncompliant governance control.</p> <p><u>Functions</u></p> <p>P5:F1: <i>Social norms</i></p> <p>Social norms are the unwritten rules of behavior that are considered acceptable in a group or society. Norms function to provide order and predictability in society. Adherence to social norms in a SMNO helps create a culture of community acceptance. SMNO populations are targeted for specific areas. The scale of SMNO social norm adherence ranges from exceptionally strong social community norm connection governance to an extremely poor connection of the social norm governance to the community they serve.</p> <p>P5:F2: <i>Institutions</i></p> <p>An institution is a social structure in which people cooperate and which influences the behavior of people and the way they live. An institution has a purpose. Institutions are permanent, which means that they do not end when one person is gone. An institution has rules and can enforce rules of human behavior. Specific institutions are targeted within the SMNO population. The range of institutions is from a strong viable SMNO to a weak and sustainability threatened SMNO.</p> <p>P5:F3: <i>Rules</i></p> <p>One of a set of explicit or understood regulations or principles governing conduct within a particular activity or sphere. Rules are structured to assure compliance to a viable SMNO governance plan. Rules are specific to SMNO populations. The scale of rules in an SMNO range from extensive and governance compliance-based to a few rules that are connected to governance compliance.</p>
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	<p><u>Tasks</u></p> <p>P5:F3:T1: <i>Recruit/orient new board members</i></p> <p>To hire and train qualified board members with the intent of assuring proper governance. Board recruitment and orientation are specific to SMNO target population. The range of Board recruitment and orientation ranges from a strong board training and recruitment program to a board that is ill-prepared to assist with SMNO governance.</p> <p>P5:F3:T2: <i>Develop board training</i></p> <p>Part of the qualification is to train board members. Board training is SMNO population specific. Board training ranges from extensive, comprehensive and SMNO need-based to a nonexistent Board training program.</p>
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Appendix 4: Research Questionnaire

Questionnaire for Strategic Roadmap: Small to Medium Nonprofit Organizations in Connecticut Corridor between New York and Boston

You are invited to participate in this research questionnaire “Validation of Strategic Roadmap for Small to Medium Nonprofit Organizations.”

Thank you for taking your time to review and comment on the strategic roadmap (SRM). The questionnaire was designed for a study conducted by Dan Tenney as a part of his Ph.D. research at The University of Bridgeport. This research aims to create a strategic roadmap that can assist policy makers, and nonprofit organization leaders and researchers to holistically view the process of strategic development and planning at Small to Medium Nonprofit Organizations (SMNOs). During this questionnaire, you will be asked to review the strategic roadmap according to your expertise. The results will be used to validate the strategic roadmap created. We want you to validate the overall structure/framework of the strategic roadmap, and review some of the elements of the strategic roadmap.

Your participation in this study is entirely voluntary, and you may skip any questions or withdraw from this study at any time. Your responses will be strictly confidential and data from this research will be reported only as an aggregate. Your information will be coded and will remain confidential. There are no known risks associated with participation in this study.

If you have any questions concerning this research experiment, or if you would like to receive the results of the study, please contact Dan Tenney at dtenney@bridgeport.edu or mobile phone number (860) 878-4839 or Professor Nasir Sheikh at nasir.sheikh@bridgeport.edu.

If you agree to participate, please check the box, and continue on. ☐

I hereby confirm my participation on this questionnaire and agree to fill out as much of the information as possible.

Please kindly complete this questionnaire for the validation of the strategic roadmap and the important use of roadmaps for policy makers. After completion, please email it to dtenney@bridgeport.edu.

Part 1: First Level Planning

- 1) Is this Strategic Roadmap (SRM) appropriate for SMNOs? Please proceed to questions after reading and comprehending the definitions and figures. Please note for purposes of this planning that the perspectives are deemed independent of each other even though historically there may be relationships between them.

Definitions (STEEP: Social, Technical, Economic, Environmental, and Political)

Perspectives	Description
Social (S)	The social or sociological perspective is broadly the study of humans and their social interactions. This involves the ways and means that these interactions shape communities and society as a whole. This perspective includes criteria or sub-criteria that have a significant positive or negative impact on society. Social criteria may include 1) Health, 2) Safety, 3) Employment, 4) Mission statement attainment and 5) Social acceptance criteria. Sometimes social and political perspectives are combined because the boundaries are blurred. For the purposes of this research these two perspectives are separated. Criteria such as policies, regulations, and other actions of policy makers are considered under the political perspective.
Technical (T)	The technical perspective represents the point of view and priorities of technical managers, technologists, social workers and clinicians, and others that may contribute that add value to the overall mission of the SMNOs. This perspective incorporates the technologies, methodologies, and technical skills and considerations that enable SMNOS to remain competitive and meet the specific demands of the mission. For this strategic roadmap the main criteria that make up the technical perspective include: 1) data acquisition, analysis and measured outcomes, 2) business intelligence that incorporates social media tools such as patient treatment, scheduling, billing and employee administration such as payroll and organizational development aspects
Economic (E)	The economic perspective incorporates the cost of and financial sustainability of SMNO operations. The economic

	perspective recognizes that SMNOs will not remain functional and able to meet their mission unless they can sustain their financial viability. Criteria may include 1) Meet financial goal, 2) Future financial sustainability, 3) Financial forecasting, planning and monitoring, and 4) Balancing programs, resources, budgeting, accountability and financial planning.
Environmental (E)	The environmental criteria have an impact on the SMNO environmental culture and subsequent market impact. Environmental criteria form a necessary foundation to maintain at the necessary level of functionality allowing them to meet mission demands. Criteria may include 1) Cultural Acceptance, 2) Environmental safety and impact and 3) Hygienically acceptable surroundings. Many times, local community nonprofit organizations are located close to the population they serve in order to provide access and to assure cultural acceptance. This may be in lower income neighborhoods so safety and cleanliness are criteria that must be assured as well.
Political (P)	The political perspective criteria make up political motivation, policies and regulations that represent the SMNOs relating to the government or the public affairs of the area that govern the SMNO. Criteria may include 1) Meet government or industry requirements, 2) Meet organizational policies, 3) Attain political backing and 4) Account for and mitigate regulatory risk. Political and social perspectives may be intertwined but for purposes of this exercise their criteria must be independent.

CONSIDER HAVING NUMBERED ITEMS BELOW MATCH THOSE IN DEFINITIONS]

Strategic Roadmap Example (First two-lane levels)

Table 1. Strategic Road Map

Roadmap Lane (Major Lane)	Roadmap Sub-Lane Criteria	Functions	Tasks	Project Management	-2 Yr	Present	+5 Yr	+ 10 Yr	+15 Yr	Policy Vision (+20 Years)
Social	S1: Health									
	S2: Safety									
	S3: Employment									
	S4: Mission statement attainment									
	S5: Social acceptance									
Technical	T1: Data driven and measured outcomes									
	T2: Automated care and wellness									
	T3: Social Media savvy									
Economic	E1: Meet financial goals									
	E2: Future financial sustainability									
	E3: Financial forecasting and planning									
	E4: Balance programs, resources and financial planning									
Environmental	E1: Cultural Acceptance									
	E2: Environmental Safety									
	E3: Hygienically acceptable surroundings									
Political	P1: Meet government or industry requirements									
	P2: Meet organizational policies									
	P3: Attain political backing									
	P4: Regulatory Risk									

2) Are the major lanes and sub-lanes representative of the dimensions/perspectives important for long term planning for SMNOs

☐Yes ☐No

If no, what changes should be made?

Comments:

3) Is the time-frame appropriate, eg. 20+ years forward planning?

☐Yes ☐No

If no, what is the appropriate time frame?

Comments:

4) Is it important to have the vision for each lane as part of this planning process? This includes “ backward looking as well as forward forecasting”

☐Yes ☐No

If no, what is the appropriate for the lanes especially the planning timeframe, ie. how far into the future should one go?

Comments:

Where?

It could apply to any location where SMNOs are established. However, for the panel of experts, it focuses primarily on the corridor between New York City and Boston.

When?

The time frame for the SRM model is projected to forecast into the late 2030s, or approximately 20 years. The desire to extend the planning timeframe to 20 plus years is a key question to be validated by the panel of experts. Is it practical to extend this far into the future?

Why?

The roadmap recommends long and short-term goal setting. It may allow an easier understanding of the market trends, operational needs and determines the critical elements that are vital to specific SMNO strategic planning.

How?

Unlike typical technology roadmaps that only project into the future from the present, this SRM works forward but considers the near past. This strategic roadmap details linkages from the past and present to a long-term vision. The long-term vision was first decided upon and presented, and then possible short-term goals are to be determined on a trajectory towards the longer-term vision. The roadmap used data and information from research journals, and experienced feedback from experts as well as other roadmap models.

Requesting your feedback. This is a new model, so please add any comments or modifications that you feel are appropriate.

Part 2: Questionnaire

A. Expert Profile

Q1) Current Position (Title/Role) _____

Q2) Years of Experience: Please provide _____

Q3) Highest Degree and certifications: Please provide _____

Q4) Have you participated in strategic planning for SMNOs?

☐Yes ☐No

Q5) Is a roadmap important for your planning and policy making that includes a planning timeframe?

☐Yes ☐No

If yes[?], what is the appropriate time frame?

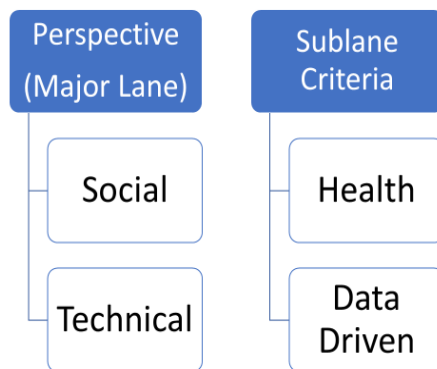
Comments:

Q6) Please select your area(s) of professional expertise (check all that apply)

☐Social ☐Technical ☐Environmental ☐Economic ☐Political

B. Roadmap Questions

Q7) Please check the box if the perspective (Different “lanes” of the strategic roadmap) is relevant. Look at above, Table 1, Strategic Road Map. Below is an example of alignment of perspectives and sub-lane criteria.



☐ Yes ☐ No, needs modification

Comments:

Q8) Please check if the Definitions of STEEP make sense or need modification.

☐ Yes ☐ No, needs modification

Comments:

Q9) Planning lanes extending to 20+ years. Is 20 years the right target (Till 2040)?

☐ Yes ☐ No

If no, please explain what is the correct longest timeframe?

Comments:

Should we use 5-year intervals?

☐ Yes ☐ No

If no, please explain what is the correct shortest appropriate interval?

Comments:

If no, should any timeframe be removed or added?

☐ Yes ☐ No

Comments:

Should we include past situations relating to previous planning outcomes?

☐ Yes ☐ No

If no, please explain if looking back 2 years is the appropriate time frame.

Comments:

- I. Validation: Second level: Sub-lane Criteria validation. Includes the sub-lane criteria questions, such as the following example: Check if you agree with the following definitions, if not leave blank and comment why. Checking box means that the sub-lane criteria is relevant. You may check a box and still add comments or edit per your experience.

Q10) Social Perspective

Criteria	Definition
<input type="checkbox"/> Health	Physical well-being including proper diet and nutrition, medical and preventative care, physical exercise, and a good mental state of well-being. Comments:
<input type="checkbox"/> Safety	Following safe practices that are prescribed per your mission. Comments:
<input type="checkbox"/> Employment	Maintain proper work functions such as staffing levels and/or job descriptions per mission requirements Comments:
<input type="checkbox"/> Mission statement attainment	Formal summary of aims and values of the organization that can be subscribed to by stakeholders Comments:
<input type="checkbox"/> Social acceptance	Community activity linkage relevant to mission Comments:

Q11) Technical Perspective

Criteria	Definition
<input type="checkbox"/> Data driven/measured outcomes	Data collected and analyzed for decision making including routine technical reports generation. Comments:
<input type="checkbox"/> Automated care and wellness	Utilize personalized artificial intelligence/big data for personal health maintenance. Comments:

<input type="checkbox"/> Social media savvy	Utilize social media tools and business intelligence to track trends in human behavior and interactions. Comments:
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Q12) Economic Perspective

Criteria	Definition
<input type="checkbox"/> Meet Financial Goals	A financial goal or financial target based upon money. Examples include debt reduction, sufficient revenue including donations to maintain the business, government support and private grants? The monetary objectives of a SMNO are often determined by their future requirements for funds. For a business, its financial goals can be expressed as part of an overall financial plan that might include financial targets, projected borrowing requirements, covering operating expenses, and developing a debt payback schedule. Comments:
<input type="checkbox"/> Future Financial Sustainability	There is no agreed definition of what financial sustainability is, but it is about being able to be there for your beneficiaries in the long term. It is the opposite of having to cease your activities simply because you have run out of money or funding. Business sustainability is often defined as managing the triple bottom line - a process by which companies manage their financial, social, political, and environmental risks, and assures stability and viability to meet the mission for the future.
<input type="checkbox"/> Financial forecasting and planning	Financial forecasting is critical for business success. A financial plan is a process a company lays out, typically broken down into a step-by-step format, for utilizing its available capital and other assets to meet its goals for growth or profit based on a reasonable financial forecast. Forecasting is a technique that uses historical data as inputs to make informed estimates that are predictive in determining the direction of future trends. Businesses utilize forecasting to determine how to allocate their budgets or plan for anticipated expenses for an upcoming period of time. This is typically based on the projected demand for the services offered. Comments:
<input type="checkbox"/> Balance programs, resources and financial planning	Careful consideration and execution using available human, financial and subsequent programs to meet the organization's needs, goals and mission. Comments:

Q13) Environmental Perspective

Criteria	Definition
<input type="checkbox"/> Cultural Acceptance	<p>Acceptance goes a step beyond tolerance. If a sign of tolerance is a feeling of “I can live with X (behavior, religion, race, culture, etc.)” acceptance moves beyond that in the direction of “X is OK.” You can tolerate something without accepting it, but you cannot accept something without tolerating it. Cultural acceptance takes differences into consideration and cultural differences are the various beliefs, behaviors, languages, practices and expressions considered unique to members of a specific ethnicity, race or national origin. Some examples of cultural differences as they pertain to the workplace include employees who are younger or older than their co-workers, employees who hold higher degrees than others in the workplace and individuals who grew up in either metropolitan areas or small towns. It is said that employees often have more similarities than they do differences, but those differences can sometimes outweigh the similarities. While these various differences can create a more vibrant workplace, they can also lead to problems resulting from culture clash. Cultural diversity shall be incorporated into cultural acceptance. Diversity consists of all the different factors that make up an individual, including age, gender, culture, religion, personality, social status and sexual orientation.</p> <p>Comments:</p>
<input type="checkbox"/> Environmental Safety	<p>Environmental safety is the practice of policies and procedures that ensure that a surrounding environment, including work areas, laboratories or facilities, is free of dangers that could cause harm to a person working in those areas. A safe place to work is the key element of environmental safety. We face countless environmental hazards every day. To better understand them, we can think of them as falling into four categories: physical, chemical, biological, and cultural. Human-made chemical hazards include many of the synthetic chemicals we produce, like disinfectants, pesticides and plastics.</p>
<input type="checkbox"/> Hygienically acceptable surroundings	<p>Describe what are acceptable and poor personal hygiene practices. In this regard, personal hygiene is defined as a condition promoting sanitary practices and environmental hygiene in healthcare. Adequate environmental hygiene is important for the prevention of transmission of infectious diseases within healthcare settings. Practical control measures used to improve the basic environmental conditions affecting</p>

	<p>human health, for example clean water supply, proper human and animal waste disposal, protection of food from biological contamination, and safe housing conditions, all of which are concerned with the quality of the human environment.</p> <p>Comments:</p>
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Q14) Political Perspective

Criteria	Definition
<input type="checkbox"/> Meet government requirements	<p>A requirement is a quality or qualification that you must have in order to be allowed to do something or to be suitable for something. Its products and services meet all legal requirements. Government or industry requirements being met means that specific policies, protocols and laws are met. A government or industry requirement is a quality or qualification that you must have in order to be allowed to do something or to be suitable for something as defined by governmental requirements. Its products or services meet all legal requirements.</p> <p>SMNOs must meet governmental requirements inherent in their government grant requirements.</p> <p>Comments:</p>
<input type="checkbox"/> Meet organizational policies	<p>An organizational policy is a set of guidelines and best practices put in place to protect the company, employees, and customers. In general, organizational policies define what is or is not permitted within the organization. By doing this, they establish expectations and limitations related to behavior that must be met or attained. A set of policies are principles, rules, and guidelines formulated or adopted by an organization to reach its long-term goals and typically published in a booklet or other form that is widely accessible. SMNOs must form and abide by policies in order to sustain and equitable organization.</p> <p>Comments:</p>
<input type="checkbox"/> Attain political backing	<p>Political participation is related to advocacy for political backing in support of the mission. Political scientists also aim to understand what drives individuals to participate in the democratic process, either by voting, volunteering for campaigns, signing petitions or protesting. Participation cannot always be explained by rational behavior. The voting paradox, for example, points out that it cannot be in a citizen's self-interest to vote because the effort it takes to vote will almost always outweigh</p>

	<p>the benefits of voting, particularly considering a single vote is unlikely to change an electoral outcome. Political scientists instead propose that citizens vote for psychological or social reasons. Studies show, for example, that individuals are more likely to vote if they see their friends have voted or if someone in their household has received a nudge to vote. Political backing for SMNOs is important to attain acceptance in the community as well as government financial support.</p> <p>Comments:</p>
<input type="checkbox"/> Regulatory Risk	<p>Regulatory risk is the risk that a change in laws and regulations, or failure to comply with laws and regulations, will materially impact a business, sector or market. A change in laws or regulations made by the government or a regulatory body can increase the costs of operating a business, reduce the attractiveness of an investment, or change the competitive landscape. Regulatory Risk is generally defined as the risk of having the 'license to operate' withdrawn by a regulator, or having conditions applied (retrospectively or prospectively) that adversely impact the economic value of an enterprise . "Regulatory action" means any substantive action by an agency (normally published in the Federal Register or state publications) that promulgates or is expected to lead to the promulgation of a final rule or regulation, including notices of inquiry, advance notices of proposed rulemaking, and notices of proposed rulemaking. The risk of not complying with regulations may lead to a termination of funding that is vital to an SMNO's existence.</p> <p>Comments:</p>

Q15) How long did this questionnaire take? ____Minutes

Thank you once again for taking your precious time to fill out this questionnaire. Your input will be a great help to this research.

Please save before returning it to dtenney@bridgeport.edu